

statistical bulletin



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Securities and Exchange Commission
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857 SCHEDULE OF PERIODIC SERIES WHICH DO NOT APPEAR EACH MONTH

NAME OF SERIES*		PERIOD OF ISSUE			
Q-250	NET CHANGE IN CORPORATE SECURITIES ISSUED	MARCH	JUNE	SEPT.	DEC.
Q-310	WORKING CAPITAL: CURRENT ASSETS AND LIABILITIES, NON-FINANCIAL U. S. CORPORATIONS	JAN.	MAY	JULY	OCT.
Q-320	ASSETS OF NON-INSURED PENSION FUND	JAN.	APRIL	JULY	OCT.
Q-330	STOCK TRANSACTIONS OF SELECTED FINANCIAL INSTITUTIONS	JAN.	APRIL	JULY	OCT.
Q-450	OVER-THE-COUNTER VOLUME IN NYSE LISTED STOCKS	JAN.	APRIL	JULY	OCT.
Q-520	UNCONSOLIDATED BALANCE SHEET OF NYSE MEMBER FIRMS DOING A PUBLIC BUSINESS	MARCH	JUNE	SEPT.	DEC.
S-111	SEMI-ANNUAL SUMMARY OF CHANGES IN SELECTED STOCK MARKET INDICATORS	JAN.		JULY	
S-121	SEMI-ANNUAL SUMMARY OF AVERAGE PRICES OF SHARES TRADED ON U. S. STOCK EXCHANGES	FEB.		AUG.	
S-245	FOREIGN SECURITIES ISSUES SOLD IN THE UNITED STATES	MARCH		SEPT.	
A-120	ANNUAL SUMMARY OF MARKET VALUE AND VOLUME OF SALES ON U. S. STOCK EXCHANGES	FEB.			
A-130	ANNUAL SUMMARY OF ROUND-LOT AND ODD-LOT SHARE VOLUME ON THE AMEX (WEEKLY AND MONTHLY)	FEB.			
A-140	ANNUAL SUMMARY OF ROUND-LOT SHARE VOLUME ON THE NYSE (WEEKLY AND MONTHLY)	FEB.			
A-143	ANNUAL SUMMARY OF ODD-LOT SHARE VOLUME ON THE NYSE (WEEKLY AND MONTHLY)	FEB.			
A-160	GROWTH RATE TRIANGLE OF NYSE SHARE VOLUME	JAN.			
A-161	GROWTH RATE TRIANGLE OF AMEX SHARE VOLUME	JAN.			
A-190	SECURITIES LISTED ON EXCHANGES		MAY		
A-250	DOMESTIC CORPORATE SECURITIES ISSUED AND RETIRED		MAY		
A-320	ANNUAL SURVEY OF PRIVATE NON-INSURED PENSION FUNDS (PRELIMINARY)		APRIL		
A-321	ANNUAL SURVEY OF PRIVATE NON-INSURED PENSION FUNDS				OCT.
A-330	ANNUAL COMMON STOCK TRANSACTIONS AND ACTIVITY RATES OF SELECTED FINANCIAL INSTITUTIONS		APRIL		
A-340	MARKET VALUE OF OUTSTANDING CORPORATE STOCKS IN THE UNITED STATES		MAY		
A-350	STOCKHOLDINGS OF INSTITUTIONAL INVESTORS AND OTHERS		MAY		
A-360	TOTAL ASSETS AND COMMON STOCK HOLDINGS OF MAJOR INSTITUTIONS		MAY		

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MARKET VALUE AND VOLUME OF SALES ON UNITED STATES SECURITIES EXCHANGES
(ALL DATA ARE IN THOUSANDS)

	TOTAL MARKET \$VALUE	STOCKS		BONDS		WARRANTS		RIGHTS	
		MARKET \$VALUE	SHARES	MARKET \$VALUE	PRINCIPAL	MARKET \$VALUE	UNITS	MARKET \$VALUE	UNITS
1974	8,450,786	7,980,927	387,516	444,803	646,767	25,047	4,919	8	5
1974	10,740,411	10,033,609	465,131	670,292	878,536	34,909	6,618	1,602	10,542
1974	10,077,199	9,644,663	447,667	601,544	742,600	30,973	5,147	19	17
1974	8,442,350	7,903,653	406,370	524,283	712,464	14,394	5,474	20	29
1975	10,580,142	9,801,390	488,173	755,149	932,488	23,570	6,735	32	31
1975	15,016,440	14,148,139	608,898	841,059	1,013,365	26,148	6,906	1,054	4,053
1975	14,563,008	13,809,578	585,043	728,191	875,222	23,676	8,095	1,563	11,761
1975	15,321,369	14,498,267	562,839	790,027	891,565	32,970	12,050	105	860
1975	16,765,375	15,982,048	612,387	753,748	892,553	27,304	23,686	1,915	12,310
1975	15,653,617	14,797,233	589,975	810,142	919,280	45,460	8,426	782	5,890
1975	16,954,720	16,107,142	625,295	808,393	938,492	38,841	7,753	356	616
1975	11,826,978	11,172,069	405,269	634,029	709,887	20,049	4,346	31	541
1975	10,252,848	9,627,710	355,614	613,627	685,939	10,867	3,194	644	9,188
BREAKDOWN FOR SEPTEMBER, 1975									
* AMERICAN STOCK EXCHANGE	343,373	327,948	28,427	11,156	17,070	3,967	1,376	0	0
* BOSTON STOCK EXCHANGE	128,076	128,076	3,894	0	0	0	0	0	0
* CHICAGO BOARD OF TRADE	0	0	0	0	0	0	0	0	0
* CINCINNATI STOCK EXCHANGE	20,325	20,325	639	0	0	0	0	0	0
DETROIT STOCK EXCHANGE	9,840	9,840	313	0	0	0	0	0	0
MIDWEST STOCK EXCHANGE	446,328	446,321	14,641	6	8	1	2	4	8
NATIONAL STOCK EXCHANGE	0	0	0	0	0	0	0	0	0
* NEW YORK STOCK EXCHANGE	8,779,663	8,172,386	287,445	600,414	665,979	6,223	1,585	641	9,098
PACIFIC STOCK EXCHANGE	339,745	339,074	1,300,05	2,004	2,835	667	226	1	16
* PHILA.-BALT.-WASH. STOCK EXCHANGE	185,580	185,522	6,666	47	47	10	6	2	67
INTERMOUNTAIN STOCK EXCHANGE	27	27	150	3	3	0	0	0	0
SPOKANE STOCK EXCHANGE	194	194	435	0	0	0	0	0	0

BREAKDOWN FOR SEPTEMBER, 1975

	STOCKS	BONDS	WARRANTS	RIGHTS
* AMERICAN STOCK EXCHANGE	327,948	28,427	11,156	17,070
* BOSTON STOCK EXCHANGE	128,076	3,894	0	0
* CHICAGO BOARD OF TRADE	0	0	0	0
* CINCINNATI STOCK EXCHANGE	20,325	639	0	0
DETROIT STOCK EXCHANGE	9,840	313	0	0
MIDWEST STOCK EXCHANGE	446,328	14,641	6	8
NATIONAL STOCK EXCHANGE	0	0	0	0
* NEW YORK STOCK EXCHANGE	8,172,386	287,445	600,414	665,979
PACIFIC STOCK EXCHANGE	339,074	1,300,05	2,004	2,835
* PHILA.-BALT.-WASH. STOCK EXCHANGE	185,522	6,666	47	47
INTERMOUNTAIN STOCK EXCHANGE	27	150	3	3
SPOKANE STOCK EXCHANGE	194	435	0	0

MARKET VALUE AND VOLUME OF SALES ON ALL EXEMPTED SECURITIES EXCHANGES
(ALL DATA ARE IN THOUSANDS)

	STOCKS	BONDS	WARRANTS	RIGHTS
1975 SEPTEMBER	39	39	4	0
BREAKDOWN FOR SEPTEMBER, 1975	39	39	4	0
HONOLULU STOCK EXCHANGE	39	39	4	0

NA = NOT AVAILABLE

R = REVISION OF PREVIOUSLY PUBLISHED DATA

+ = GREATER THAN ZERO BUT LESS THAN 500

SEE EXPLANATORY NOTES

EXPLANATORY NOTES

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Market Value and Volume of Sales on Registered and Exempted Securities Exchanges

The data presented in this table are of two types depending upon the method of aggregation used by each exchange. Reports of those exchanges marked with an asterisk cover transactions cleared during the calendar month; clearances occur for the most part within five days of the execution of a trade. Reports for other exchanges cover transactions effected on trade dates falling within the report month. The variance introduced by these two different methods of aggregating the data is not considered to be significant and accordingly all registered exchanges are aggregated and reported in monthly summaries.

Stock data include voting trust certificates, certificates of deposit for stocks and American Depository Receipts for stocks.

Bond data have excluded transactions covering United States Government issues since March 1944.

Warrants data include trading in rights for all periods prior to January, 1972.

ROUND-LOT AND ODD-LOT SHARE VOLUME ON THE AMERICAN STOCK EXCHANGE
(IN SHARES AND WARRANTS)

SEPTEMBER, 1975

ROUND-Lot SHARE VOLUME OF
SPECIALISTS IN STOCKS IN WHICH
THEY ARE REGISTERED

ALL ROUND-Lot SALES

DATE	DAY	PURCHASES		SALES		PURCHASES	SALES	
		TOTAL	SHORT	TOTAL	SHORT		TOTAL	SHORT
1	MONDAY	51,400		183,200	193,070	25,100	12,200	4,200
2	TUESDAY	35,000		170,200	156,900	13,500	4,900	7,800
3	WEDNESDAY	50,000		200,600	209,130	18,900	23,800	9,500
4	THURSDAY	47,800		161,470	161,510	21,200	22,200	18,100
5	FRIDAY							
8	MONDAY	52,200		166,810	153,700	16,300	11,700	11,300
9	TUESDAY	38,730		192,600	202,580	22,530	9,400	14,200
10	WEDNESDAY	37,300		195,860	176,880	6,110	3,400	2,600
11	THURSDAY	28,500		153,730	143,350	4,800	1,600	5,900
12	FRIDAY	24,225		137,850	197,775	15,425	6,700	12,400
15	MONDAY	50,300		159,750	109,650	16,100	5,800	2,300
16	TUESDAY	55,900		211,990	189,670	15,200	34,800	14,700
17	WEDNESDAY	34,310		181,875	208,300	9,510	36,250	28,300
18	THURSDAY	39,000		205,090	228,593	14,200	13,800	25,200
19	FRIDAY	2,229,640		233,425	418,445	42,200	3,400	20,650
22	MONDAY	1,571,360		193,445	225,600	26,300	9,600	12,000
23	TUESDAY	1,371,950		218,185	187,950	30,300	20,833	6,222
24	WEDNESDAY	1,605,685		224,690	250,750	35,700	11,400	14,300
25	THURSDAY	1,224,860		39,100	184,550	183,240	5,800	6,900
26	FRIDAY	1,612,610		49,700	194,470	199,590	15,400	9,900
29	MONDAY	1,370,555		35,330	175,800	203,905	22,330	20,500
30	TUESDAY	1,259,975		27,030	184,153	184,830	11,600	7,800
	TOTALS	30,234,885		1,318,795	3,929,983	4,182,115	4,31,395	281,250
	AVERAGES	1,439,756		48,514	187,142	199,148	19,114	13,393
								11,936
								1,303

(CONTINUED)

ROUND-LOT AND ODD-LOT SHARE VOLUME ON THE AMERICAN STOCK EXCHANGE
(IN SHARES AND WARRANTS)

SEPTEMBER, 1972

ROUND-LOT SHARE VOLUME
INITIATED OFF THE FLOOR

ROUND-LOT SHARE VOLUME
FOR ACCOUNTS OF NON-MEMBERS

ODD-LOT CUSTOMERS
SHARE VOLUME

DATE	DAY	SALES			PURCHASES			PURCHASES			SALES			
		TOTAL	SHORT	-----	TOTAL	-----	SHORT	-----	TOTAL	-----	SHORT	-----	TOTAL	-----
1	MONDAY	61,950	58,451	*****	2,900	1,059,655	*****	EXCHANGE HOLIDAY	22,900	10,201	20,004	0	0	0
2	TUESDAY	92,501	66,952	4,100	839,199	875,968	17,400	8,825	20,611	0	0	0	0	0
3	WEDNESDAY	93,539	87,948	3,100	1,009,846	1,021,267	24,000	9,032	21,695	0	0	0	0	0
4	THURSDAY	104,616	80,414	2,700	1,008,754	1,037,016	21,800	8,670	20,566	0	0	0	0	0
5	FRIDAY													
6	MONDAY	62,386	42,955	3,000	967,459	1,000,430	32,000	10,184	21,368	0	0	0	0	0
7	TUESDAY	67,710	66,512	1,400	1,147,300	1,133,718	12,200	10,956	21,470	0	0	0	0	0
8	WEDNESDAY	143,410	101,262	1,800	1,110,375	1,172,283	31,390	10,094	21,347	0	0	0	0	0
9	THURSDAY	103,335	83,568	6,600	932,640	958,687	16,200	9,530	18,912	0	0	0	0	0
10	FRIDAY	46,934	74,441	4,300	928,556	935,724	21,500	8,145	18,109	0	0	0	0	0
11	MONDAY	164,600	44,200	13,100	797,510	971,510	20,400	8,133	16,186	0	0	0	0	0
12	TUESDAY	112,970	84,822	12,400	1,382,564	1,453,138	28,200	13,722	25,566	0	0	0	0	0
13	WEDNESDAY	125,878	69,346	7,200	1,350,112	1,388,169	17,400	10,934	24,669	0	0	0	0	0
14	THURSDAY	128,964	73,811	7,400	1,571,866	1,592,209	17,200	12,908	22,666	0	0	0	0	0
15	FRIDAY	126,765	97,726	22,000	1,866,050	1,692,619	51,000	15,653	27,836	0	0	0	0	0
16	MONDAY	91,010	130,525	22,100	1,263,305	1,209,235	22,600	12,104	26,220	0	0	0	0	0
17	TUESDAY	96,100	77,365	11,100	1,036,865	1,100,435	12,300	9,943	23,105	0	0	0	0	0
18	WEDNESDAY	93,255	75,328	13,900	1,276,140	1,265,307	26,000	9,906	22,774	0	0	0	0	0
19	THURSDAY	81,135	54,131	7,800	973,315	1,003,569	13,900	8,527	19,216	0	0	0	0	0
20	FRIDAY	202,150	71,110	11,800	1,200,590	1,332,010	18,710	9,897	20,697	0	0	0	0	0
21	MONDAY	79,878	71,759	4,900	1,094,377	1,081,191	7,800	9,257	21,780	0	0	0	0	0
22	TUESDAY	69,168	85,332	4,300	1,036,857	1,015,813	11,800	12,631	22,042	0	0	0	0	0
23	WEDNESDAY	2,148,280	1,601,458	167,900	23,875,895	24,200,672	428,500	219,252	457,201	0	0	0	0	0
24	THURSDAY													
25	FRIDAY													
26	MONDAY													
27	TUESDAY													
28	WEDNESDAY													
29	THURSDAY													
30	FRIDAY													
	AVERAGES	102,298	76,260	7,995	1,136,823	1,152,412	20,405	10,441	21,771	0	0	0	0	0

ROUND-LOT SHARE VOLUME ON THE NEW YORK STOCK EXCHANGE
(IN SHARES AND WARRANTS)

SEPTEMBER, 1972

OTHER MEMBER SHARE VOLUME
INITIATED ON THE FLOOR

DATE	DAY	PURCHASES			PURCHASES			PURCHASES			PURCHASES		
		TOTAL	SHORT	-----	TOTAL	SHORT	-----	TOTAL	SHORT	-----	TOTAL	SHORT	-----
1	MONDAY	50,900	73,100	-----	9,591,150	9,591,590	-----	8,649,470	8,761,420	-----	206,770	214,400	-----
2	TUESDAY	202,500	106,100	15,700	1,655,340	1,335,325	497,700	8,670,270	9,151,205	314,080	205,810	9,499,929	250,810
3	WEDNESDAY	128,500	106,400	26,100	1,516,442	1,387,171	265,000	9,374,608	9,118,937	185,550	185,550	9,118,937	185,550
4	THURSDAY	42,300	73,700	16,700	1,259,706	1,012,633	191,700	8,891,764	-----	-----	-----	-----	-----
5	FRIDAY	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----
8	MONDAY	77,400	60,900	21,500	1,734,490	928,098	206,470	8,010,280	9,138,142	174,640	174,640	9,138,142	174,640
9	TUESDAY	63,400	168,000	46,200	1,576,050	1,760,505	413,870	12,306,190	11,762,965	229,130	229,130	11,762,965	229,130
10	WEDNESDAY	94,000	91,500	25,600	1,823,550	1,203,460	199,500	11,012,380	11,846,640	361,150	361,150	11,846,640	361,150
11	THURSDAY	126,800	89,900	26,700	986,286	1,023,211	205,550	9,477,854	8,500,409	269,220	269,220	8,500,409	269,220
12	FRIDAY	46,900	89,200	26,500	1,756,880	1,075,041	176,200	8,981,460	9,337,839	244,340	244,340	9,337,839	244,340
15	MONDAY	31,100	37,200	9,800	613,542	719,192	100,820	7,017,058	6,943,228	165,210	165,210	6,943,228	165,210
16	TUESDAY	79,100	98,900	33,800	923,600	1,259,885	161,300	10,640,670	10,113,245	259,190	259,190	10,113,245	259,190
17	WEDNESDAY	105,403	91,900	21,100	930,213	915,147	246,450	9,671,757	9,661,273	317,400	317,400	9,661,273	317,400
18	THURSDAY	98,400	131,600	51,300	1,006,900	1,325,857	294,800	11,242,350	10,929,293	429,950	429,950	10,929,293	429,950
19	FRIDAY	159,700	206,400	150,000	1,667,294	2,089,495	561,300	16,455,486	14,889,405	444,000	444,000	14,889,405	444,000
22	MONDAY	166,800	124,400	84,900	1,550,240	1,303,403	266,200	11,191,900	11,131,677	306,050	306,050	11,131,677	306,050
23	TUESDAY	214,300	103,100	59,100	1,227,162	1,029,392	209,850	9,342,508	9,801,628	314,400	314,400	9,801,628	314,400
24	WEDNESDAY	190,000	136,100	54,200	1,596,360	1,567,370	414,950	12,170,400	11,676,770	331,570	331,570	11,676,770	331,570
25	THURSDAY	164,100	112,900	40,800	1,990,312	1,327,140	275,600	9,209,828	9,814,260	337,450	337,450	9,814,260	337,450
26	FRIDAY	136,400	118,900	37,100	1,222,355	1,230,380	268,100	9,281,765	9,360,460	307,230	307,230	9,360,460	307,230
29	MONDAY	141,400	119,000	37,300	945,801	1,007,791	273,380	8,073,719	7,875,379	206,550	206,550	7,875,379	206,550
30	TUESDAY	138,000	193,200	38,200	1,97,834	1,138,161	174,950	9,648,666	9,523,339	242,490	242,490	9,523,339	242,490
TOTALS		2,457,400	2,332,450	850,600	28,081,607	25,689,247	5,616,090	208,320,403	208,830,643	5,977,160	5,977,160	208,830,643	5,977,160
AVERAGES		117,019	111,069	40,505	1,337,219	1,223,296	267,433	9,920,019	9,944,316	284,628	284,628	9,944,316	284,628

ROUND-LOT SHARE VOLUME ON THE NEW YORK STOCK EXCHANGE
(IN SHARES AND WARRANTS)

SEPTEMBER-1925

SHARE VOLUME OF SPECIALISTS (EXCEPT
FOR THE ODD-LOT ACCOUNT) IN STOCKS
IN WHICH THEY ARE REGISTERED

ROUND-LOT SHARE VOLUME FOR
THE ODD-LOT ACCOUNT OF THE
ODD-LOT DEALER

ALL ROUND-Lot SALES

DATE	DAY	SALES			PURCHASES			SALES		
		TOTAL	SHORT	-----	-----	-----	-----	TOTAL	SHORT	-----

1	MONDAY	11,530,610	916,800							
2	TUESDAY	12,349,140	1,291,340	1,080,120	1,604,060	487,630	25,820	176,920	0	
3	WEDNESDAY	12,886,680	1,148,260	1,811,910	1,711,370	463,860	40,910	152,450	0	
4	THURSDAY	11,733,060	838,900	1,504,740	1,358,380	606,350	37,220	170,810	0	
5	FRIDAY					444,950	24,550	165,410	0	
6	MONDAY	11,551,370	726,770	1,697,470	1,251,490	324,160	31,730	172,740	0	
7	TUESDAY	15,857,980	1,230,600	1,079,450	1,954,210	501,400	32,890	212,300	0	
8	WEDNESDAY	14,871,240	888,140	1,895,880	1,555,720	301,890	45,430	173,920	0	
9	THURSDAY	11,155,530	778,060	1,517,850	1,403,440	276,590	46,740	138,570	0	
10	FRIDAY	12,282,360	819,550	1,461,500	1,638,840	370,510	35,620	141,440	0	
11	MONDAY	8,722,800	473,250	1,036,060	881,850	177,420	25,040	141,330	0	
12	TUESDAY	13,201,760	789,750	1,558,510	1,660,240	335,460	43,880	171,590	0	
13	WEDNESDAY	12,275,420	911,020	1,532,540	1,458,880	326,070	35,510	148,220	0	
14	THURSDAY	14,666,510	1,307,020	1,835,820	2,121,970	530,970	63,040	137,790	0	
15	FRIDAY	20,965,540	2,499,680	2,614,200	3,614,240	1,304,380	68,860	166,000	0	
16	MONDAY	14,889,060	1,422,360	1,931,490	2,102,950	765,210	48,630	226,630	0	
17	TUESDAY	12,810,180	1,093,460	2,009,370	1,660,270	514,330	46,840	175,590	0	
18	WEDNESDAY	16,197,950	1,729,170	2,187,330	2,639,430	928,450	51,860	178,280	0	
19	THURSDAY	12,999,630	1,137,710	2,074,320	1,558,180	483,960	31,070	157,100	0	
20	FRIDAY	12,522,170	1,123,480	1,951,860	1,745,550	511,050	29,790	166,880	0	
21	MONDAY	10,626,670	878,770	1,440,130	1,419,480	361,540	25,520	205,020	0	
22	TUESDAY	12,599,490	817,450	1,595,890	1,557,580	361,810	19,080	187,210	0	
23	WEDNESDAY	22,821,560				36,364,610	10,377,690	810,030	3,570,200	0
24	THURSDAY									
25	FRIDAY									
26	MONDAY									
27	TUESDAY									
28	WEDNESDAY									
29	THURSDAY									
30	FRIDAY									
	TOTALS									
	AVERAGES	13,180,330	1,086,740	1,767,509	1,731,648	494,176	38,573	173,310	0	

(CONTINUED)

ODD-LOT CUSTOMERS PURCHASES AND SALES ON THE NEW YORK STOCK EXCHANGE
IN 100 SELECTED COMMON STOCKS

NAME OF STOCK	WEEK ENDED			WEEK ENDED			WEEK ENDED			WEEK ENDED		
	OCT 03 1975	PURCHASES	SALES	OCT 10, 1975	PURCHASES	SALES	OCT 17, 1975	PURCHASES	SALES	OCT 24, 1975	PURCHASES	SALES
ALLIED CHEMICAL CORPORATION	889	890	765	2,251	1,180	1,736	692	1,922	692	1,922	841	1,194
ALLIS CHALMERS CORP.	31	496	275	1,230	586	959	841	841	841	841	1,469	963
ALUMINUM CO. OF AMERICA	938	1,230	611	1,340	719	1,470	808	2,107	808	2,107	1,008	1,005
AMERICAN AIRLINES, INC.	177	2,130	472	1,738	615	2,003	989	3,095	989	3,095	1,008	1,005
AMERICAN BRANDS, INC.	1,353	2,032	1,214	2,546	1,108	1,003	738	3,114	738	3,114	1,460	1,460
AMERICAN CAN COMPANY	1,188	2,541	725	2,800	786	2,804	930	2,866	930	2,866	1,887	1,887
AMERICAN CYANAMID CO.	3,455	2,087	1,700	2,742	2,267	2,583	1,880	1,880	1,880	1,880	1,880	1,880
AMERICAN MOTORS CORP.	681	1,912	853	2,179	866	1,897	1,880	1,880	1,880	1,880	1,880	1,880
AMERICAN TEL. & TEL. CO.	25,161	31,986	19,510	35,059	12,418	36,000	14,008	49,841	14,008	49,841	14,008	14,008
AMF INCORPORATED	1,208	1,321	1,155	1,094	972	1,054	951	994	951	994	951	994
AMPEX CORPORATION	84	511	162	622	50	697	160	854	160	854	160	854
ANACONDA COMPANY	534	1,838	189	2,916	1,537	2,891	834	2,046	834	2,046	834	2,046
APECO CORPORATION	60	230	106	792	150	422	0	0	0	0	0	0
AVCO CORPORATION	71	1,220	323	1,257	121	1,515	114	1,733	114	1,733	114	1,733
AVNET, INC.	143	1,022	308	708	183	793	267	1,005	267	1,005	267	1,005
BETHLEHEM STEEL CORPORATION	2,042	2,672	1,122	2,713	1,227	3,666	2,842	3,955	2,842	3,955	2,842	3,955
BOEING COMPANY	339	4,456	985	3,261	383	3,152	1,036	1,036	1,036	1,036	1,036	1,036
BRUNSWICK CORPORATION	1,332	535	1,605	575	1,264	1,343	1,548	783	1,548	783	1,548	783
BURROUGHS CORPORATION	1,593	4,611	3,583	6,966	4,293	4,293	2,721	3,574	2,721	3,574	2,721	3,574
CHRYSLER CORPORATION	1,666	5,879	2,534	6,385	3,027	6,685	3,773	10,300	3,773	10,300	3,773	10,300
COLUMBIA GAS SYSTEM INC.	753	1,955	1,104	1,906	3,365	2,534	621	2,996	621	2,996	621	2,996
COMMONWEALTH OIL REFINING CO.	561	1,463	167	1,546	437	1,891	45	1,778	45	1,778	45	1,778
COMMUNICATIONS SATELLITE CORP.	471	1,174	497	1,369	570	1,407	721	1,211	721	1,211	721	1,211
CONSOLIDATED EDISON CO. OF N.	2,082	7,034	2,029	6,770	1,790	6,254	2,135	8,232	2,135	8,232	2,135	8,232
CONTINENTAL AIRLINES, INC.	522	948	2,545	1,284	480	1,224	299	1,161	299	1,161	299	1,161
CONTROL DATA CORPORATION	1,157	2,031	2,524	2,513	2,199	3,701	933	10,162	933	10,162	933	10,162
DART INDUSTRIES INC.	108	1,413	34	1,256	55	2,312	123	2,449	123	2,449	123	2,449
DOW CHEMICAL COMPANY	3,737	5,571	2,689	7,899	1,960	7,656	3,232	11,103	3,232	11,103	3,232	11,103
DU PONT DE NEMOURS (E.I. & C.	2,339	6,934	1,849	6,808	1,219	7,007	1,740	6,594	1,740	6,594	1,740	6,594
EASTERN AIR LINES, INC.	541	1,433	388	1,717	286	1,328	219	2,271	219	2,271	219	2,271
EASTMAN KODAK COMPANY	5,934	11,937	5,910	15,404	5,062	17,000	7,105	15,203	7,105	15,203	7,105	15,203
ESMARK INC.	1,672	2,972	1,942	2,985	2,296	3,272	1,721	2,826	1,721	2,826	1,721	2,826
EXXON CORPORATION	7,189	15,236	6,191	23,996	6,721	20,129	7,026	21,404	7,026	21,404	7,026	21,404
FAIRCHILD CAMERA & INSTRUMENT	2,053	1,1267	1,079	1,493	1,779	1,824	812	1,946	812	1,946	812	1,946
FAIRCHILD INDUSTRIES, INC.	0	255	210	363	1,139	600	104	398	600	104	398	600
FORD MOTOR COMPANY	2,246	5,800	2,386	8,992	1,987	7,513	420	1,673	3,221	1,673	3,221	1,673
GAF CORPORATION	409	1,233	437	1,238	475	1,369	420	1,673	420	1,673	420	1,673
GENERAL DYNAMICS CORP.	309	2,351	383	3,422	303	3,024	537	2,373	537	2,373	537	2,373
GENERAL ELECTRIC COMPANY	3,973	10,592	2,874	13,186	3,122	10,884	4,188	14,084	4,188	14,084	4,188	14,084
GENERAL FOODS CORPORATION	691	2,098	456	3,496	1,019	2,522	1,305	5,299	1,305	5,299	1,305	5,299
GENERAL MOTORS CORPORATION	13,103	48,552	10,135	58,763	10,161	40,798	12,886	54,159	12,886	54,159	12,886	54,159
GEN-L TEL. & ELECTRONICS CORP.	4,614	7,234	2,843	7,971	3,158	8,555	3,005	7,830	3,005	7,830	3,005	7,830
GOODYEAR TIRE & RUBBER CO.	770	2,785	1,263	4,368	1,254	4,560	1,460	3,834	1,460	3,834	1,460	3,834
GREAT WESTERN FINANCIAL CORP.	272	265	154	527	137	405	295	660	295	660	295	660
GULF OIL CORPORATION	5,055	6,285	5,24	8,367	5,309	8,599	5,763	8,913	5,763	8,913	5,763	8,913
GULF & WESTERN INDUSTRIES	1,120	1,553	2,059	2,694	1,925	2,117	1,776	1,503	1,776	1,503	1,776	1,503
HIGH VOLTAGE ENGINEERING CO.	227	227	148	120	0	413	40	329	40	329	40	329
HONEYWELL, INC.	1,776	2,720	1,887	2,227	2,007	2,613	2,067	3,256	2,067	3,256	2,067	3,256
INT'L BUSINESS MACHINES CORP.	19,052	25,431	29,234	46,588	21,388	37,869	24,211	36,220	24,211	36,220	24,211	36,220
INTERNATIONAL HARVESTER CO.	2,634	2,634	2,634	4,997	3,378	4,997	3,232	3,144	3,232	3,144	3,232	3,144

ODD-Lot Customers Purchases and Sales on the New York Stock Exchange
in 100 Selected Common Stocks

NAME OF STOCK	WEEK ENDED		WEEK ENDED		WEEK ENDED		WEEK ENDED	
	OCT 03 1975	PURCHASES	SALES	OCT 10, 1975	PURCHASES	SALES	OCT 17, 1975	PURCHASES
INT'L NICKEL CO. OF CANADA	158	907	87	1,276	478	1,644	509	1,705
INTERNATIONAL PAPER COMPANY	1,242	2,579	1,370	2,508	1,295	2,629	1,106	3,547
INT'L TEL AND TEL	4,590	3,855	2,527	4,704	2,118	5,025	2,193	5,753
ITEK CORPORATION	183	576	228	390	208	825	187	1,034
JOHNS-MANVILLE CORP.	560	825	1,205	1,091	690	1,279	681	1,177
LTV CORPORATION	691	1,614	258	1,270	870	1,291	313	1,426
LEAR SIGLER, INC.	323	1,085	426	2,341	241	1,105	310	1,487
LITTON INDUSTRIES, INC.	414	5,178	689	6,775	512	5,411	354	5,077
MARCOR, INC.	1,352	3,077	204	2,143	535	2,635	122	4,010
MARTIN-MARIETTA CORP.	743	4,211	892	1,418	567	1,869	698	1,298
MCDONNELL DOUGLAS CORP.	639	4,075	2,913	5,735	367	8,791	277	6,529
MINNESOTA MINING & MFG. CO.	3,745	4,075	0	9,896	2,667	5,238	2,382	6,559
MONSANTO COMPANY	2,111	4,414	984	2,823	1,025	11,195	1,252	11,506
MOTOROLA, INC.	423	2,104	834	1,021	700	1,657	434	804
OCIDENTAL PETROLEUM CO.	4,314	6,937	2,086	4,084	2,618	4,857	2,986	5,867
OWENS-ILLINOIS INC.	30	1,416	342	1,839	533	3,212	492	2,530
PAN AMERICAN WORLD AIRWAYS	942	2,921	725	2,482	763	3,835	584	4,239
PASCO INCORPORATED	94	1,195	0	556	76	657	192	420
PENN CENTRAL COMPANY	260	2,095	282	2,823	344	3,381	386	1,915
Pfizer Inc	2,908	3,167	2,443	2,774	1,941	3,825	2,427	2,747
PHILLIPS PETROLEUM CO.	1,504	4,262	1,714	4,105	833	4,420	1,563	5,220
POLAROID CORPORATION	3,051	5,015	3,215	8,161	5,586	11,917	6,379	5,989
PROCTER & GAMBLE CO.	3,732	1,096	1,538	2,759	2,129	2,760	1,945	3,443
R. J. REYNOLDS INDUSTRIES, INC.	620	3,309	945	3,447	987	3,886	1,601	4,820
RCA CORPORATION	2,240	7,608	3,560	6,656	2,916	7,778	2,927	7,619
PAYTHEON COMPANY	304	1,535	1,56	1,858	373	2,555	163	1,547
REICHLUND CHEMICALS, INC.	230	414	184	481	293	581	309	654
ROCKWELL INT'L. CORP.	1,576	2,962	1,130	3,199	1,616	2,916	1,656	3,475
SANTA FE INDUSTRIES	217	1,731	573	1,789	616	2,548	649	4,109
SCH CORPORATION	528	1,419	363	1,536	265	1,477	668	1,590
SEARS, ROEBUCK & CO.	2,617	11,519	2,430	13,862	2,876	15,138	3,000	18,309
SINGER COMPANY	1,076	2,387	1,713	3,088	804	2,128	461	3,165
SPERRY AND CORPORATION	624	2,006	700	2,902	369	2,938	1,169	2,727
STANDARD OIL CO. OF CALIF.	2,504	5,411	2,334	6,633	2,019	8,839	2,282	6,634
TELEDYNE, INC.	267	1,431	318	3,822	245	3,408	636	3,040
TENNECO, INC.	2,666	3,875	2,617	3,939	2,568	4,954	3,123	3,888
TEXACO INC	12,989	9,257	13,910	9,208	10,762	12,592	11,482	11,028
TEXAS GULF INC.	467	1,055	366	1,302	424	1,457	361	869
TEXAS INSTRUMENTS, INC.	1,390	4,621	1,753	6,316	1,605	7,083	1,724	3,586
THOROL CHEMICAL CORP.	318	3,203	1,930	284	79	335	375	395
TRANS WORLD AIRLINES, INC.	181	650	269	1,044	173	794	332	492
UNION CARBIDE CORP.	2,836	5,053	2,700	4,270	2,508	4,902	2,556	6,746
UNITED TECHNOLOGIES CORP.	769	2,667	1,362	2,482	1,813	2,792	1,402	2,049
UNITED NUCLEAR CORP.	252	782	1,136	673	668	491	149	900
U.S. STEEL CORPORATION	1,334	8,229	1,222	5,051	1,198	6,930	1,047	7,602
WARNER LAMBERT CO.	1,194	3,203	1,930	3,942	919	4,402	1,293	4,469
WESTERN UNION CORPORATION	983	1,067	854	1,143	1,186	1,371	1,551	2,088
WESTINGHOUSE ELECTRIC CORP.	6,250	4,839	8,669	7,933	8,707	7,245	5,398	6,527
W.H. WOOLWORTH COMPANY	860	2,250	1,068	3,506	1,531	5,004	945	5,310
XEROX CORPORATION	5,559	7,268	8,034	8,035	7,119	9,802	7,313	8,772
TOTALS ***	213,768	411,681	211,333	509,213	195,075	507,046	208,100	542,511

ODD-LOT SHARE VOLUME ON THE NEW YORK STOCK EXCHANGE

SEPTEMBER, 1975

PURCHASES BY CUSTOMERS FROM
THE SOLE ODD-LOT DEALER

DATE	DAY	SHARE VOLUME	MARKET VALUE	AVERAGE PRICE	*****	SHARE VOLUME	MARKET VALUE	AVERAGE PRICE	SHARE VOLUME	MARKET VALUE	AVERAGE PRICE
1	MONDAY	160,853	\$ 5,722,320	\$ 35.57	EXCHANGE HOLIDAY	293,4668	\$ 10,449,471	\$ 35.58	4,770	\$ 309,588	\$ 64.90
2	TUESDAY	164,407	\$ 5,363,439	\$ 32.62		285,4223	\$ 9,620,537	\$ 33.73	4,188	\$ 254,053	\$ 60.66
3	MEDNESDAY	141,448	\$ 5,079,035	\$ 35.01		275,431	\$ 9,524,592	\$ 34.58	3,606	\$ 220,318	\$ 61.10
4	THURSDAY	137,709	\$ 4,954,895	\$ 35.98		279,162	\$ 9,905,319	\$ 35.48	3,951	\$ 289,294	\$ 73.22
5	FRIDAY										
8	MONDAY	137,664	\$ 4,627,211	\$ 33.61	*****	297,831	\$ 10,385,704	\$ 34.87	4,724	\$ 321,129	\$ 67.98
9	TUESDAY	172,883	\$ 6,052,342	\$ 35.01		318,566	\$ 11,107,001	\$ 34.87	6,243	\$ 439,381	\$ 70.38
10	WEDNESDAY	157,046	\$ 5,882,515	\$ 31.46		290,392	\$ 10,326,753	\$ 35.56	15,118	\$ 1,085,048	\$ 71.77
11	THURSDAY	161,350	\$ 5,648,334	\$ 35.01		249,885	\$ 8,770,565	\$ 35.10	11,588	\$ 881,202	\$ 76.04
12	FRIDAY	146,245	\$ 5,283,125	\$ 36.13		248,037	\$ 8,756,685	\$ 33.29	9,133	\$ 668,932	\$ 73.24
15	MONDAY	132,024	\$ 4,170,349	\$ 31.59	*****	257,840	\$ 9,089,729	\$ 35.25	11,167	\$ 876,536	\$ 78.49
16	TUESDAY	186,241	\$ 5,416,839	\$ 29.09		284,383	\$ 9,192,900	\$ 32.33	5,104	\$ 312,391	\$ 61.21
17	WEDNESDAY	158,123	\$ 5,140,730	\$ 32.51		282,505	\$ 9,305,812	\$ 32.94	7,533	\$ 574,693	\$ 76.29
18	THURSDAY	158,368	\$ 5,376,168	\$ 33.95		265,610	\$ 8,866,174	\$ 33.38	2,875	\$ 219,026	\$ 76.18
19	FRIDAY	213,549	\$ 7,721,241	\$ 36.16		303,054	\$ 10,655,077	\$ 35.16	4,201	\$ 314,662	\$ 74.90
22	MONDAY	193,945	\$ 6,787,052	\$ 36.99	*****	342,318	\$ 11,953,079	\$ 34.92	5,058	\$ 326,991	\$ 65.04
23	TUESDAY	147,469	\$ 4,881,023	\$ 33.14		289,294	\$ 10,080,534	\$ 35.21	5,622	\$ 359,212	\$ 63.49
24	MEDNESDAY	155,183	\$ 5,788,227	\$ 37.16		290,524	\$ 10,554,500	\$ 36.33	5,361	\$ 388,579	\$ 72.40
25	THURSDAY	129,013	\$ 4,556,089	\$ 35.30		266,283	\$ 9,315,944	\$ 35.25	3,772	\$ 235,639	\$ 62.47
26	FRIDAY	129,328	\$ 4,541,849	\$ 35.12		258,586	\$ 9,265,928	\$ 35.83	3,088	\$ 222,693	\$ 72.12
29	MONDAY	140,036	\$ 4,839,125	\$ 34.56	*****	305,631	\$ 10,727,096	\$ 35.10	2,152	\$ 171,625	\$ 79.75
30	TUESDAY	128,035	\$ 4,385,428	\$ 34.04		286,498	\$ 10,021,929	\$ 34.98	6,107	\$ 390,965	\$ 64.02
TOTALS		3,252,359	\$ 112,223,536			5,965,721	\$ 207,375,329		125,361	\$ 8,863,957	
AVERAGES		154,874	\$ 5,343,977	\$ 34.51		284,082	\$ 9,875,015	\$ 34.76	5,970	\$ 422,093	\$ 70.70

STOCK MARKET INDICATORS COVERING THE MONTH OF OCTOBER, 1975
(DAILY INDEXES ARE AT CLOSE)

NUMBER OF TRADING DAYS THIS MONTH = 23

NEW YORK STOCK EXCHANGE										AMERICAN STOCK EXCHANGE					OVER THE COUNTER				
STANDARD & POOR		N.Y.+E.		DOW JONES		SHARE MARKET		SHARE MARKET		NASDAQ		IND.		SHARE VOLUME (1,000)		SHARE VOLUME (1,000)			
DATE	DAY	500	425	COMP.	IND.	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000			
1	WEDNESDAY	82.93	92.85	43.96	48.87	784.16	14,070	82.25	1,390	73.80	78.19	60.63	76.03	60.63	4,091				
2	THURSDAY	83.02	93.92	44.39	49.46	794.55	14,290	82.37	1,310	74.16	78.61	60.43	75.88	60.43	4,307				
3	FRIDAY	85.95	96.39	45.49	50.76	813.21	16,360	83.21	1,510	75.50	80.08	64.94	76.61	61.23	5,094				
4	MONDAY	86.88	97.46	45.98	51.35	819.66	15,470	83.49	1,490	76.03	78.19	61.10	76.19	61.10	4,710				
5	TUESDAY	86.77	97.32	45.92	51.28	816.51	13,530	83.71	1,350	75.88	80.43	64.03	76.61	61.23	5,094				
6	WEDNESDAY	87.94	98.72	46.50	52.03	823.91	11,800	84.07	1,590	76.61	81.23	61.23	76.20	61.23	5,094				
7	THURSDAY	88.37	99.16	46.72	52.27	824.54	17,770	84.32	1,740	76.87	81.44	5.208	76.87	81.44	5.208				
8	FRIDAY	88.21	98.91	46.67	52.10	823.91	14,880	84.13	1,420	76.96	81.43	4,384	76.96	81.43	4,384				
9	MONDAY	89.46	100.35	47.33	52.83	837.77	12,020	84.46	1,200	77.70	82.35	3,828	78.19	82.35	3,828				
10	TUESDAY	89.28	100.09	47.28	52.71	835.25	19,960	84.13	1,830	78.19	82.65	6,466	78.20	82.65	6,466				
11	WEDNESDAY	89.23	100.00	47.24	52.65	837.22	14,440	83.97	1,520	78.20	82.63	4,753	78.22	82.62	4,753				
12	THURSDAY	89.37	100.14	47.33	52.73	837.85	18,910	83.95	1,620	78.22	82.62	6,065	78.22	82.62	6,065				
13	FRIDAY	88.86	99.56	47.06	52.40	832.18	15,650	83.38	1,410	77.63	81.67	4,768	77.63	81.67	4,768				
14	MONDAY	89.82	100.65	47.52	52.94	842.25	13,250	83.27	1,420	78.13	82.35	3,906	78.43	82.41	3,906				
15	TUESDAY	90.56	101.49	47.91	53.43	846.82	20,800	83.70	1,750	78.43	82.41	5,845	78.91	82.91	5,845				
16	WEDNESDAY	90.71	101.67	47.98	53.43	849.57	16,060	83.52	1,430	78.91	82.91	4,974	78.91	82.91	4,974				
17	THURSDAY	91.24	102.29	48.25	53.76	855.16	17,900	83.59	1,580	79.06	83.45	5,168	79.06	83.45	5,168				
18	FRIDAY	89.83	100.60	47.57	52.95	840.52	16,120	83.07	1,820	78.62	83.02	5,097	78.62	83.02	5,097				
19	MONDAY	89.73	100.52	47.52	52.93	838.48	13,100	83.09	1,320	78.29	82.79	3,794	78.73	83.29	3,794				
20	TUESDAY	90.51	101.47	47.89	53.40	851.46	17,060	83.48	1,660	78.73	83.29	4,688	78.73	83.29	4,688				
21	WEDNESDAY	89.39	100.19	47.26	52.68	838.63	16,110	83.22	1,670	77.58	82.16	5,064	77.58	82.16	5,064				
22	THURSDAY	89.31	100.08	47.18	52.59	839.42	15,080	82.80	1,390	77.45	81.97	4,898	77.45	81.97	4,898				
23	FRIDAY	89.04	99.74	47.05	52.39	836.04	12,910	82.79	1,380	76.99	81.69	4,319	76.99	81.69	4,319				
MONTHLY AVERAGES										83.46	1,513	77.30	81.73	4,805					
1975 OCTOBER		88.57	99.29	46.87	52.26	831.26	15,893												
1974 OCTOBER		69.44	77.57	36.62	39.81	638.62	16,395	66.78	1,880	60.58	59.48	4,789	60.58	59.48	4,789				
1974 NOVEMBER		71.74	80.17	37.98	41.23	642.10	14,289	66.92	1,823	63.94	61.57	4,566	63.94	61.57	4,566				
1974 DECEMBER		67.07	74.80	35.41	38.32	596.50	15,054	59.88	2,388	59.16	55.92	4,845	59.16	55.92	4,845				
1975 JANUARY		72.56	80.50	38.56	41.29	659.08	19,635	66.31	2,116	64.46	61.08	5,415	64.46	61.08	5,415				
1975 FEBRUARY		80.10	89.30	42.48	46.00	724.88	22,462	76.01	2,544	72.08	70.24	5,876	72.08	70.24	5,876				
1975 MARCH		83.70	93.90	44.35	48.63	765.06	22,462	79.16	2,672	75.71	75.71	5,747	75.71	75.71	5,747				
1975 APRIL		84.72	95.27	44.91	49.73	797.93	20,334	82.02	2,319	76.97	79.41	5,737	76.97	79.41	5,737				
1975 MAY		90.10	101.57	47.76	53.21	836.55	21,785	86.94	2,521	81.85	84.98	6,380	81.85	84.98	6,380				
1975 JUNE		92.40	103.68	49.22	54.61	845.70	21,285	90.57	2,784	84.64	88.67	6,370	84.64	88.67	6,370				
1975 JULY		92.49	103.83	49.54	54.96	856.28	20,076	93.26	2,750	82.57	85.62	5,925	82.57	85.62	5,925				
1975 AUGUST		85.71	96.21	45.71	50.71	815.52	13,403	85.74	1,475	78.42	82.57	4,567	78.42	82.57	4,567				
1975 SEPTEMBER		84.67	94.96	44.97	50.55	810.55	13,088	84.26	1,440	75.91	80.52	4,595	75.91	80.52	4,595				

TOTAL NUMBER OF SPECIAL BLOCK DISTRIBUTIONS

	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	YEAR
1960	13	9	12	8	7	13	11	8	8	12	7	7	115
1961	11	4	6	10	15	32	18	13	18	13	12	12	164
1962	10	12	9	6	6	2	8	10	9	9	9	12	102
1963	19	13	10	15	18	17	15	11	18	14	18	15	173
1964	26	16	15	18	12	16	12	12	9	13	19	10	178
1965	13	21	23	14	15	15	19	13	12	22	15	17	199
1966	16	12	10	25	15	21	28	11	9	5	11	16	179
1967	15	16	17	19	15	17	13	22	16	20	11	12	193
1968	21	9	18	13	11	27	22	15	22	23	12	17	210
1969	27	14	9	19	21	13	7	13	12	16	14	11	174
1970	7	12	11	9	4	8	3	3	11	15	12	12	107
1971	7	6	24	28	33	25	23	11	18	17	14	19	235
1972	13	17	23	25	35	34	10	23	20	24	17	15	256
1973	17	9	14	25	14	23	13	19	22	35	23	14	228
1974	11	10	7	12	8	3	4	7	5	9	8	2	82
1975	3	3	3	8	9	6	7	7(R)	6(R)	5(P)			

TOTAL DOLLAR VALUE OF SPECIAL BLOCK DISTRIBUTIONS

(Millions)

	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	YEAR
1960	20.2	54.8	35.7	15.4	28.1	28.7	37.9	13.1	12.3	37.8	112.3	37.4	433.7
1961	46.6	9.9	24.0	64.7	39.5	75.2	66.9	39.7	36.7	73.6	985.9		
1962	39.1	34.0	28.8	245.8	28.5	1.2	92.3	78.2	17.8	9.2	123.1	27.2	725.2
1963	50.6	55.6	36.9	41.9	220.7	45.8	49.8	29.3	51.8	46.1	327.8	66.2	1,022.5
1964	378.9	32.6	101.6	47.2	125.0	67.4	34.6	46.4	31.2	75.3	55.6	11.8	1,007.6
1965	63.5	124.9	414.2	87.9	52.3	396.9	122.8	101.6	78.2	99.0	80.0	68.1	1,689.4
1966	158.2	71.1	55.3	203.4	635.5	133.4	123.3	29.3	28.2	48.9	55.7	154.5	1,696.8
1967	52.5	63.4	237.0	86.5	108.1	178.0	60.5	129.2	84.0	165.0	22.8	72.3	1,259.3
1968	118.5	25.9	116.4	145.6	141.4	232.0	167.7	92.2	178.5	146.6	89.7	207.3	1,661.8
1969	177.3	79.3	101.8	78.9	134.0	177.9	32.8	52.7	55.6	111.6	208.3	84.6	1,294.8
1970	45.0	41.8	71.8	35.1	13.4	22.0	8.8	5.6	53.0	91.3	82.1	77.5	547.6
1971	76.6	24.5	166.6	277.5	468.0	167.4	186.9	101.8	98.4	78.4	219.8	168.2	2,036.1
1972	73.6	77.8	468.1	570.4	546.8	242.9	230.9	208.1	222.2	199.1	120.5	286.4	3,246.8
1973	137.4	16.2	125.8	241.9	12.4	163.3	49.3	54.5	111.9	150.4	161.4	16.6	1,239.1
1974	8.6	23.4	30.6	51.4	9.8	2.0	1.6	5.3	2.7	7.8	5.1	2.8	151.1
1975	2.0	2.3	20.6	167.1	137.7	56.9	19.8	17.7(R)	9.8(R)	15.4(P)			

SPECIAL DIVIDEND DISTRIBUTIONS RECEIVED DURING THE MONTH OF October, 1975

Type of Security	Type of Exchange	Type of Distribution	Type of Holder	Distribution Dates	In Original Offer	Number of Units	Offering Price Per Share (\$/share)	Value Of Shares Sold (\$/shares)
Alcon Laboratories, Inc.	C.S.	NYSE	S.D.	Bank	9/24	9/26	54,500	43,125
Brown Group, Inc.	C.S.	NYSE	S.D.	Trust	10/24	10/24	50,000	16,000
Diebold Incorporated	C.S.	NYSE	S.D.	Bank	9/25	9/30	184,247	111,250
Electronic Data Systems	C.S.	NYSE	S.D.	Fund	10/8	10/9	104,500	56,100
First Chicago Corporation	C.S.	NYSE	S.D.	Fund	9/24	9/25	368,200	175,100
General Cinema Corporation	C.S.	NYSE	S.D.	Bank	80/8	10/9	247,300	20,000
National Fuel Gas	C.S.	NYSE	S.D.	Inv. Adv.	8/12	8/12	51,000	51,000
National Semiconductor Corp.	C.S.	NYSE	S.D.	Brokerage	10/1	10/8	10,000	10,000
Scotiabank Foods, Inc.	C.S.	NYSE	S.O.	Fund	8/22	8/22	53,100	6,750
Shaw Industries, Inc.	C.S.	AMEX	E.D.	Com. Reg.	10/17	10/17	7,300	7,750
Shaw Industries, Inc.	C.S.	AMEX	E.D.	Inv. Co.	9/11	9/11	11,000	7,675
Walter E. Heller, Inc.	C.S.	NYSE	S.D.	Fund	9/24	9/25	120,300	140,650

Inc. - Incorporated
 Corp. - Corporation
 Int. - International
 C.S. - Common Stock
 S.D. - Secondary Distribution
 S.D. - Special Offering
 E.D. - Exchange Distribution
 Inv. Co. - Investment Company
 Com Reg. - Commercial Banking
 Inv. Adv. - Investment Advisor

ESTIMATED GROSS PROCEEDS FROM PRIMARY SECURITIES OFFERINGS, BY INDUSTRY AND TYPE OF OFFERING
(CASH SALES IN MILLIONS OF DOLLARS)

	CALENDAR YEARS 1973	1974	LAST 12 MONTHS	AUG 1975	JUL 1975	AUG 1974	JUL 1974
ALL OFFERINGS	\$32,807	\$39,936	\$53,043	\$2,289	\$6,542	\$2,667	\$3,472
CORPORATE	31,724	37,768	50,237	2,289	4,126	2,667	3,249
FOREIGN GOVT	1,083	2,168	2,806	0	415	0	223

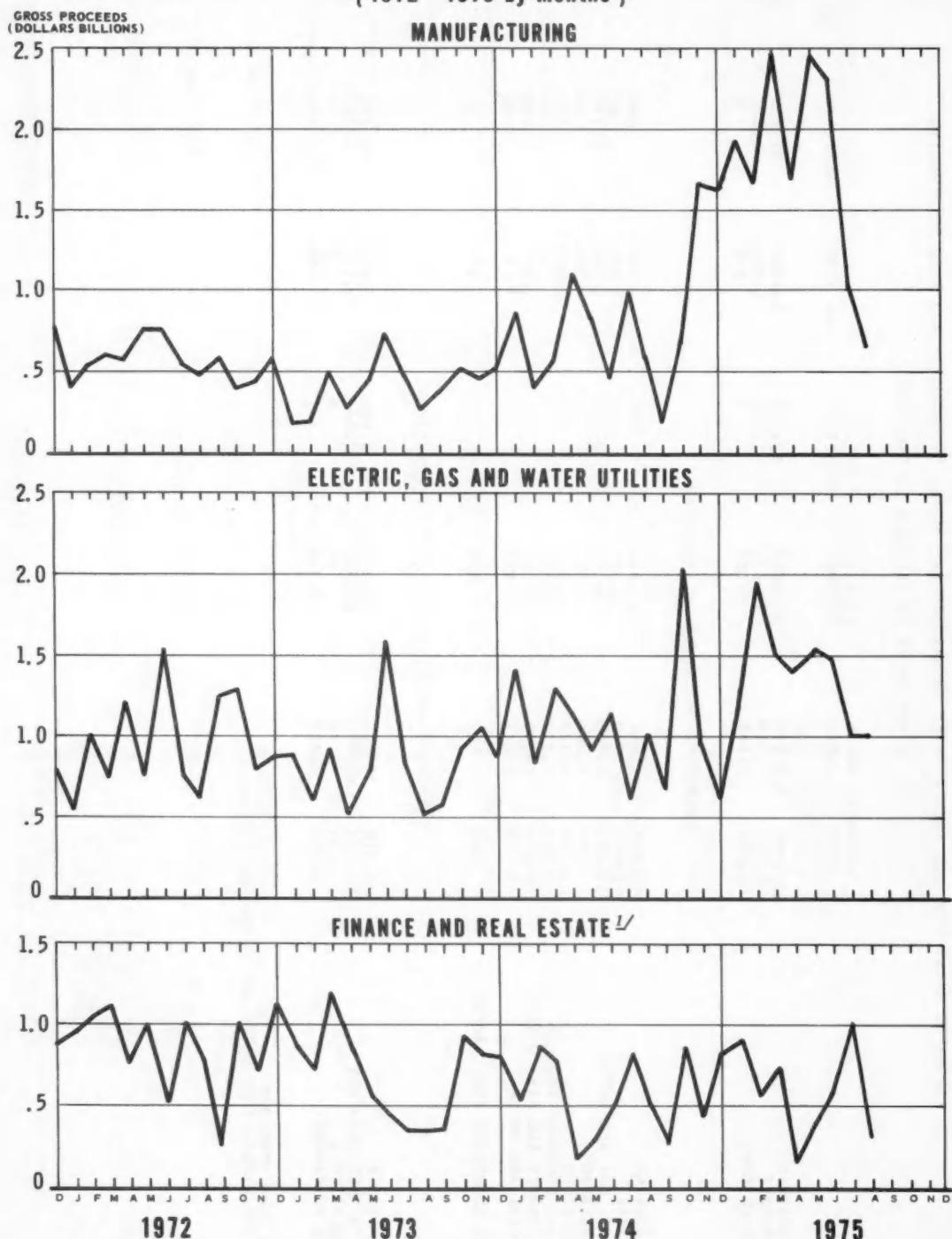
CORPORATE OFFERINGS, BY INDUSTRY

MANUFACTURING	4,837	10,411	18,618	655	1,137	604	1,095
EXTRACTIVE	1,061	980	1,325	77	292	49	94
ELECTRIC, GAS AND WATER	10,271	12,836	15,569	1,020	1,032	1,077	619
TRANSPORTATION	846	1,004	1,564	0	254	14	62
COMMUNICATION	4,868	3,928	4,178	102	269	364	295
SALES AND CONSUMER FINANCE	983	1,377	1,348	3	0	17	1
OTHER FINANCE AND REAL ESTATE	7,109	5,421	5,750	314	1,071	489	828
COMMERCIAL AND OTHER	1,750	1,811	1,884	120	71	52	255
FOREIGN CORPORATE INCLD ABOVE	446	557	982	149	176	24	144

CORPORATE OFFERINGS, BY TYPE OF OFFERING

PUBLIC ISSUES	22,910	31,066	42,889	1,868	3,160	2,291	2,564
REGISTERED 1933 ACT	22,756	30,990	42,837	1,864	3,157	2,287	2,539
REGULATION A	154	78	52	4	2	4	5
PRIVATE PLACEMENTS	8,814	6,700	7,348	421	966	375	705

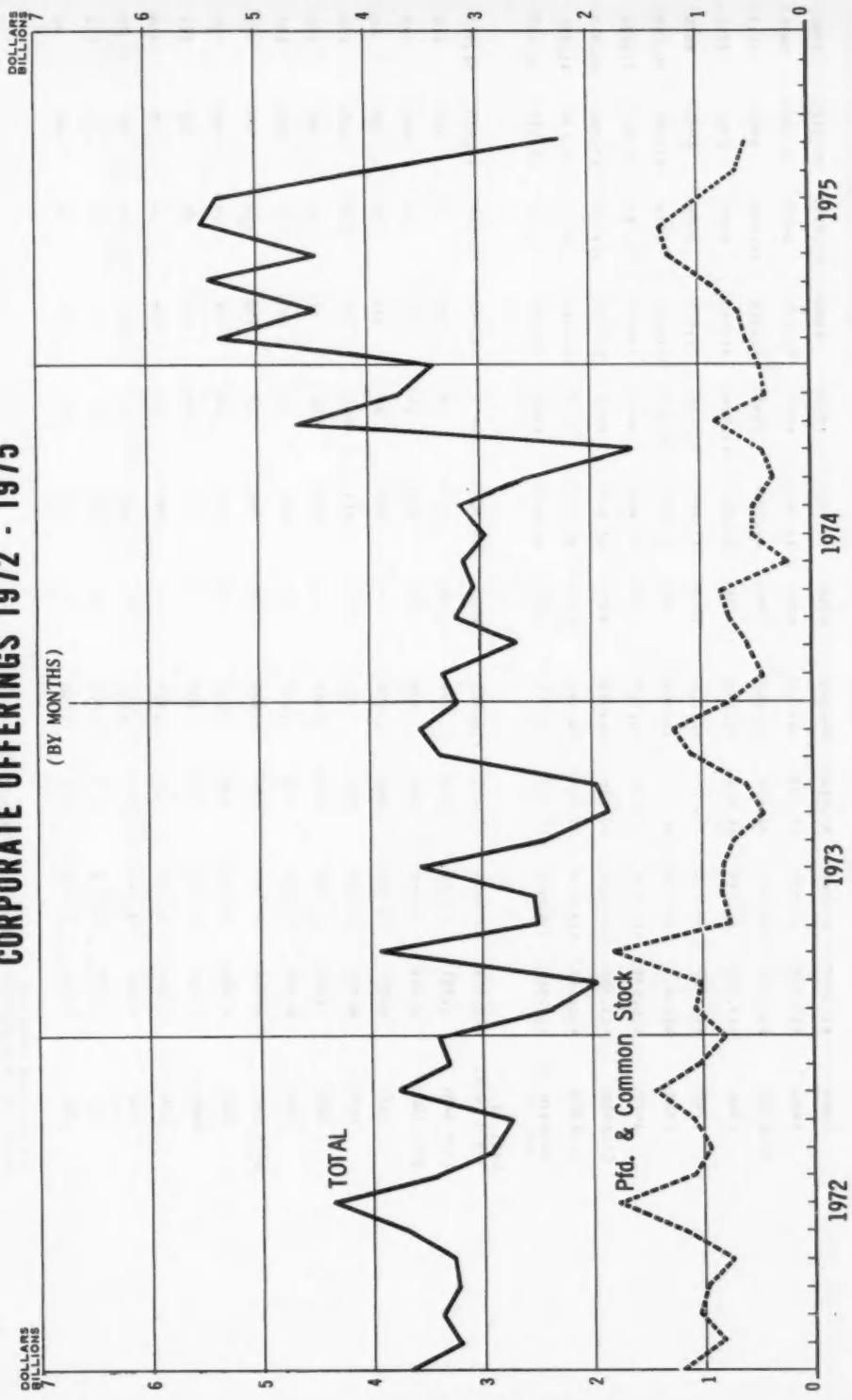
* LESS THAN \$500,000
NOTE: SEE EXPLANATORY NOTES FOR OFFERINGS TABLES.



1/ Includes sales and consumer finance.

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CORPORATE OFFERINGS 1972 - 1975



ESTIMATED GROSS PROCEEDS FROM CORPORATE NON-CONVERTIBLE BOND OFFERINGS, BY INDUSTRY
(CASH SALES IN MILLIONS OF DOLLARS)

YEAR AND MONTH	TOTAL	PUBLICLY OFFERED	PRIVATELY PLACED	MANUFAC- TURING	EXTRAC- TIVE	ELECTRIC GAS AND WATER	TRANS- PORTATION	COMMU- NICATION FINANCE	SALES AND FINANCIAL CONSUMER AND REAL ESTATE	COMMER- CIAL AND OTHER
1965	\$11,607	\$3,786	\$7,819	\$6,163	\$234	\$2,252	\$522	\$808	\$1,555	\$1,311
1966	\$13,124	\$5,865	\$7,257	\$4,954	\$241	\$3,029	\$909	\$1,753	\$487	\$1,120
1967	\$16,797	\$10,363	\$6,434	\$7,202	\$283	\$4,172	\$941	\$1,718	\$1,043	\$821
1968	\$13,794	\$7,978	\$5,916	\$4,293	\$56	\$4,369	\$1,234	\$1,580	\$609	\$942
1969	\$13,739	\$9,310	\$4,429	\$2,716	\$187	\$5,365	\$1,111	\$1,874	\$861	\$950
1970	\$22,471	\$22,180	\$4,290	\$8,398	\$142	\$7,884	\$1,106	\$4,921	\$959	\$1,901
1971	\$26,478	\$19,777	\$6,702	\$6,113	\$193	\$7,694	\$841	\$4,216	\$1,436	\$3,051
1972	\$23,495	\$14,940	\$8,555	\$4,063	\$307	\$6,349	\$711	\$3,579	\$1,935	\$5,031
1973	\$20,167	\$12,404	\$7,763	\$4,132	\$225	\$5,579	\$743	\$3,496	\$972	\$3,995
1974	\$31,015	\$24,886	\$6,128	\$9,611	\$255	\$8,872	\$983	\$3,705	\$1,376	\$4,833
LAST 12 MONTH TOTAL	\$40,093	\$33,060	\$7,033	\$16,920	\$400	\$9,934	\$1,534	\$3,558	\$1,348	\$4,933
1975 AUG	1,741	1,339	402	554	20	717	0	82	3	247
1974 AUG	2,237	1,938	299	501	10	862	14	364	17	441
SEP	1,203	897	306	186	4	384	40	331	128	89
OCT	3,778	3,423	355	725	0	1,614	306	439	326	465
NOV	3,270	2,941	329	1,621	0	739	336	62	116	281
DEC	2,995	2,172	823	1,432	22	435	14	150	254	531
1975 JAN	4,724	3,595	1,129	1,897	153	761	23	933	196	735
FFB	3,853	3,150	703	1,631	0	1,471	24	124	55	484
MAR	4,425	3,925	500	2,367	0	828	38	317	22	582
APP	3,023	2,601	422	1,398	45	794	57	354	4	152
MAY	3,869	3,347	502	1,966	55	845	261	153	66	313
JUN	4,086	3,520	668	2,095	29	838	161	362	179	404
JUL	3,044	2,150	694	1,048	72	707	254	253	0	650

* LESS THAN \$500,000
NOTE: SEE EXPLANATORY NOTES FOR OFFERINGS TABLES.

ESTIMATED GROSS PROCEEDS FROM PRIMARY CORPORATE CONVERTIBLE BOND OFFERINGS, BY INDUSTRY
(CASH SALES IN MILLIONS OF DOLLARS)

YEAR AND MONTH	TOTAL	PUBLICLY OFFERED	PRIVATELY PLACED	MANUFAC- TURING	EXTRAC- TIVE		ELECTRIC GAS AND WATER		TRANS- PORTATION		COMMU- NICATION		SALES AND FINANCIAL COMMER- CIAL AND REAL ESTATE	
					MANU-	FACTUR-	INDUS-	TRY	INDUS-	TRY	INDUS-	TRY	INDUS-	TRY
1965	\$979	\$902	\$78	\$547	\$8	\$79	\$125	\$0	\$1	\$73	\$146	\$0	\$0	\$0
1966	\$1,781	\$1,675	\$107	\$893	\$5	\$81	\$478	\$61	\$6	\$17	\$240	\$0	\$0	\$0
1967	\$4,409	\$4,081	\$328	\$2,703	\$122	\$45	\$588	\$69	\$23	\$49	\$810	\$0	\$0	\$0
1968	\$2,947	\$2,338	\$609	\$1,352	\$147	\$71	\$217	\$153	\$28	\$248	\$731	\$0	\$0	\$0
1969	\$3,927	\$3,028	\$899	\$1,693	\$195	\$24	\$430	\$74	\$6	\$663	\$842	\$0	\$0	\$0
1970	\$2,554	\$2,185	\$368	\$868	\$153	\$123	\$111	\$130	\$16	\$701	\$452	\$0	\$0	\$0
1971	\$3,678	\$3,502	\$176	\$1,424	\$6	\$58	\$14	\$3	\$1	\$1,384	\$768	\$0	\$0	\$0
1972	\$2,192	\$1,982	\$210	\$538	\$301	\$0	\$41	\$131	\$0	\$782	\$400	\$0	\$0	\$0
1973	\$567	\$495	\$73	\$67	\$4	+	\$76	\$23	\$0	\$391	\$6	\$0	\$0	\$0
1974	\$482	\$451	\$32	\$258	\$3	\$0	\$0	\$3	\$0	\$12	\$207	\$0	\$0	\$0
LAST 12 MONTH TOTAL	\$1,159	\$1,157	\$2	\$602	\$30	\$0	\$25	\$0	\$0	\$420	\$682	\$0	\$0	\$0
1975 AUG	0	0	0	0	0	0	0	0	0	0	0	0	0	0
1974 AUG	104	104	3	100	0	0	0	0	0	4	0	0	0	0
SEP	1	+	1	0	0	0	0	0	0	0	1	0	0	0
OCT	0	0	0	0	0	0	0	0	0	0	0	0	0	0
NOV	76	75	1	76	0	0	0	0	0	0	0	1	0	0
DEC	0	0	0	0	0	0	0	0	0	0	0	0	0	0
1975 JAN	1	1	1	1	0	0	0	0	0	0	0	0	0	0
FEB	0	0	0	0	0	0	0	0	0	0	0	0	0	0
MAR	1	1	0	1	0	0	0	0	0	0	0	0	0	0
APR	130	130	0	100	30	0	0	0	0	0	0	0	0	0
MAY	315	315	+	300	0	0	0	0	0	0	0	15	0	0
JUN	211	211	0	100	0	0	0	0	25	0	0	20	66	0
JUL	425	425	0	25	0	0	0	0	0	0	0	490	0	0

* LESS THAN \$500,000
NOTE: SEE EXPLANATORY NOTES FOR OFFERINGS TABLES.

ESTIMATED GROSS PROCEEDS FROM PRIMARY CORPORATE PREFERRED STOCK OFFERINGS, BY INDUSTRY
(CASH SALES IN MILLIONS OF DOLLARS)

YEAR AND MONTH	TOTAL OFFERED	PUBLICLY OFFERED	PRIVATELY PLACED	MANUFAC- TURING	EXTRAC- TIVE	ELECTRIC POWER	GAS AND WATER	TRANS- PORTATION	COMMU- NICATION	SALES AND FINANCIAL CON- SUMER CONSUME- R REAL ESTATE	COMMER- CIAL AND OTHER
1965	\$724	\$360	\$364	\$112	\$0	\$666	\$0	\$47	\$71	\$7	\$21
1966	\$580	\$435	\$145	\$73	\$12	\$396	\$10	\$53	\$14	\$5	\$17
1967	\$681	\$785	\$96	\$231	\$7	\$537	\$10	\$66	\$5	\$4	\$21
1968	\$636	\$574	\$62	\$65	\$0	\$516	\$8	\$3	\$5	\$12	\$27
1969	\$691	\$598	\$93	\$97	\$1	\$529	\$0	\$1	\$24	\$20	\$19
1970	\$1,390	\$1,310	\$80	\$47	\$4	\$1,257	\$0	\$3	\$1	\$37	\$41
1971	\$2,682	\$3,556	\$127	\$266	\$17	\$1,932	\$7	\$1,399	\$4	\$47	\$14
1972	\$3,340	\$2,410	\$930	\$205	\$3	\$2,413	\$0	\$697	\$0	\$10	\$12
1973	\$3,341	\$2,398	\$943	\$118	\$9	\$1,912	\$0	\$1,226	\$10	\$64	\$2
1974	\$2,254	\$1,744	\$510	\$115	\$0	\$2,004	\$0	\$112	\$4	\$23	
LAST 12 MONTH TOTAL	\$2,464	\$2,193	\$271	\$214	\$75	\$1,983	\$0	\$115	\$0	\$1	\$76
1975 AUG	115	96	19	0	0	96	0	19	0	0	0
1974 AUG	137	31	76	0	0	100	0	0	0	0	7
SEP	126	118	8	0	0	108	0	18	0	0	0
OCT	196	196	1	0	0	196	0	0	0	0	1
NOV	93	82	11	1	0	87	0	5	0	0	1
DEC.	152	140	12	12	0	115	0	25	0	0	0
1975 JAN	235	225	10	3	0	227	0	5	0	0	0
FEB	173	130	43	43	0	130	0	0	0	+	0
MAR	253	243	11	13	0	240	0	0	0	1	3
APR	347	270	77	40	75	121	0	36	0	0	75
MAY	346	338	8	50	0	296	0	0	0	0	+
JUN	230	230	0	0	0	230	0	0	0	0	0
JUL	198	125	72	52	0	138	0	7	0	3	3

* LESS THAN \$500,000
NOTE: SEE EXPLANATORY NOTES FOR OFFERINGS TABLES.

ESTIMATED GROSS PROCEEDS FROM PRIMARY CORPORATE COMMON STOCK OFFERINGS, BY INDUSTRY
(CASH SALES IN MILLIONS OF DOLLARS)

YEAR AND MONTH	TOTAL OFFERED	PUBLICLY OFFERED	PRIVATELY PLACED	MANUFAC- TURING	EXTRAC- TIVE	ELECTRIC- GAS AND WATER	TRANS- PORTATION	COMMU- NICATION	SALES AND FINANCIAL CON- SUMER FINANCE	ESTATE	COMMER- CIAL AND OTHER
1965	\$1,472	\$1,438	\$35	\$592	\$99	\$137	\$55	\$90	\$7	\$361	\$131
1966	\$1,901	\$1,878	\$23	\$1,136	\$105	\$160	\$97	\$136	\$1	\$144	\$122
1967	\$1,927	\$1,815	\$112	\$933	\$175	\$181	\$100	\$122	\$16	\$126	\$274
1968	\$3,884	\$3,650	\$235	\$1,248	\$389	\$357	\$105	\$39	\$36	\$551	\$1,159
1969	\$7,640	\$7,283	\$358	\$1,040	\$1,344	\$797	\$238	\$223	\$15	\$1,519	\$1,664
1970	\$7,037	\$6,849	\$188	\$1,334	\$1,513	\$1,745	\$36	\$237	\$5	\$1,492	\$675
1971	\$9,540	\$9,351	\$189	\$1,921	\$1,009	\$2,262	\$393	\$197	\$15	\$2,524	\$1,318
1972	\$10,719	\$10,340	\$379	\$1,596	\$1,250	\$2,552	\$147	\$428	\$5	\$3,197	\$1,544
1973	\$7,648	\$7,613	\$35	\$520	\$822	\$2,779	\$26	\$122	\$1	\$2,669	\$708
1974	\$4,017	\$3,987	\$30	\$427	\$723	\$1,959	\$21	\$108	\$0	\$575	\$202
LAST 12 MONTH TOTAL	\$6,520	\$6,478	\$42	\$883	\$820	\$3,652	\$5	\$505	\$0	\$397	\$259
1975 AUG	434	434	0	101	57	207	0	0	0	68	1
1974 AUG	219	218	+	4	38	116	0	0	0	44	17
SEP	287	287	+	2	36	188	5	0	0	48	9
OCT	635	634	+	3	15	499	0	36	0	69	13
NOV	300	299	+	1	40	136	0	26	0	44	51
DEC	391	299	2	184	+	79	0	0	0	15	23
1975 JAN	354	340	14	+	55	280	0	0	0	+	19
FEB	449	430	19	1	59	356	0	1	0	32	1
MAR	644	644	0	98	72	439	0	0	0	33	2
APR	899	994	5	193	59	463	0	173	0	9	2
MAY	984	984	1	164	104	408	1	260	0	10	37
JUN	775	775	0	123	103	480	0	0	0	47	91
JUL	459	459	0	12	221	186	0	9	0	22	13

* LESS THAN \$500,000
NOTE: SEE EXPLANATORY NOTES FOR OFFERINGS TABLES.

1971 TO PRESENT 1/

The data included in the Commission's statistical series on securities offerings are a sample of the universe of all securities offered in the United States. This sample includes all primary security issues registered with the Commission for immediate cash sale to the public pursuant to the requirements of the Securities Act of 1933 or Regulation A of that Act. The sample also includes information collected by the Commission on certain private placements as described below. Excluded from the offerings data are all offerings not greater than \$100,000; all debt securities with terms of less than one year; all secondary offerings; all non-cash offerings; issues withdrawn after effective registration; issues not defined as securities under Section 2(1) of the Securities Act of 1933; offerings--both public and private--by issuers whose securities are exempted under Sections 3(a)(2)-3(a)(6) and Section 3(a)(11) of the Securities Act of 1933 2/; all employee stock plans; investment company issues other than closed-end shares 3/; intracorporate securities transactions; and sales to foreign purchasers.

The source of data for registered offerings is the registration statement filed with the Commission by the issuer of the securities. (Registration data and offering data are not directly comparable because, beyond the exclusions noted above, the registration date and the offering date may fall in two different monthly or yearly periods.) Data on private placements are collected by a Commission survey of 39 life insurance companies on a monthly basis and 9 more on a quarterly or semi-annual basis, and by reports of private placements filed on the Commission's Form 8-K. Life insurance companies surveyed by the Commission had assets on December 31, 1972, of \$190,145 million, or 79% of all life insurance company assets. Only those private placement commitments which are actually executed are included in the statistics. No representation is made that the private placement activity of the life insurance companies surveyed approximates private placement activity as a whole in the United States.

The offerings tables make a distinction between Corporate Offerings and Foreign Government Offerings. It should be noted that Corporate Offerings include issues by non-corporate business enterprises such as limited partnerships, and that the Foreign Government classification includes foreign government issues of all levels, foreign government agencies, and foreign government-owned enterprises.

The industry classification used in the offerings tables should be self-explanatory for the most part. It should be emphasized that the Communication group includes telephone utilities. In the period 1971-73, 98% of the dollar value of the registered issues in this category was accounted for by telephone utilities. The Commerical and Other industry group is comprised of agriculture, contruction, wholesale and retail trade, and all service activities other than financial services.

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The security types used in the offerings tables are Bonds, Preferred Stock and Common Stock. The Bonds group includes convertible bonds, which are detailed on a special table. The Preferred Stock group includes convertible preferred stock; however, in the period 1971-73 registered convertible preferred stock accounted for less than 15% of the value of all registered preferred stock. The Common Stock category includes common shares issued by closed-end investment companies (preferred shares are included in Preferred Stock), as well as securities issued by non-corporate business such as certificates of participation and shares of beneficial interest, and other equity securities such as voting trust certificates and certificates of deposit. American Depository Receipts are not included in the offerings statistics.

All figures are subject to revisions as new information becomes available which requires either an addition to or a correction to data previously published. Revised figures will be indicated with an "R".

- 1/ Explanatory notes applicable to the offerings data prior to 1971 may be found in Volume 33, pages 45 and 46, of the Statistical Bulletin. The major difference between the pre- and post-1971 data is that until 1971 the securities cited in footnote 2 were included in the offerings statistics.
- 2/ 3(a)(2) exempts domestic government issues and bank issues, 3(a)(3) exempts securities arising out of current transactions with a maturity not exceeding 9 months, 3(a)(4) exempts securities issued by non-profit and/or charitable groups, 3(a)(5) exempts issues by savings and loan associations, 3(a)(6) exempts issues by companies regulated by the ICC, and 3(a)(11) exempts intrastate offerings.
- 3/ No investment company shares are included for 1971 and 1972; closed-end investment company shares only are included for 1973. The Commission plans to revise the offerings data to include closed-end shares for the years 1971 and 1972, and when this project is completed, revised tables will be published in the Statistical Bulletin.

VALUE OF REGISTERED SECONDARY OFFERINGS OF COMMON STOCK BY INDUSTRY

YEAR AND MONTH	NUMBER OF ISSUES	TOTAL	(CASH SALES IN MILLIONS OF DOLLARS)				SALES AND CONSUMER FINANCE	OTHER FIN. AND REAL ESTATE	COMMERCIAL AND OTHER
			MANUFAC- TURING	EXTRAC- TIVE	ELECTRIC GAS AND WATER	TRANS- PORTATION			
1971	504	\$3006	\$1378	\$53	\$1	\$84	\$55	\$6	\$525
1972	615	\$4918	\$2648	\$64	\$85	\$85	\$11	\$0	\$563
1973	104	\$1273	\$674	\$48	\$0	\$7	\$130	+	\$1463
1974	31	\$152	\$78	+	\$0	\$10	\$0	\$0	\$364
LAST 12 MONTH TOTAL	43	\$674	\$528	\$0	\$0	\$0	\$0	\$0	\$633
1975 AUG	4	33	1	0	0	0	0	0	32
1974 AUG	1	+	+	0	0	0	0	0	0
SEP	1	5	5	0	0	0	0	0	0
OCT	0	0	0	0	0	0	0	0	0
NOV	0	0	0	0	0	0	0	0	0
DEC	4	22	6	0	0	0	0	0	16
1975 JAN	2	15	15	0	0	0	0	0	0
FEB	2	78	78	0	0	0	0	0	0
MAR	3	61	44	0	0	0	0	0	17
APR	5	147	147	0	0	0	0	0	0
MAY	9	130	72	0	0	0	0	0	57
JUN	9	167	155	0	0	0	0	0	13
JUL	4	17	16	0	0	0	0	0	1

+ LESS THAN \$500,000
NOTE: See Explanatory Notes for Registrations.

EFFECTIVE REGISTRATIONS UNDER THE SECURITIES ACT OF 1933

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(Amounts in Millions of Dollars)

	1974	1975	1974		1975	
	January-September	January-September	September	August	September	
EFFECTIVE REGISTRATIONS.....	1,974	2,106	163	200	200	
TOTAL DOLLAR AMOUNT.....	43,078	65,008 ^{3/}	3,073	4,257	5,182 ^{3/}	

	Number of Issues	Amount						
PRIMARY CORPORATE OFFERINGS								
Bonds, notes and debentures	512	21,020	675	32,976	41	1,298	54	1,969
Bonds, notes and debentures	236	16,729	380	25,497	21	897	28	1,419
Preferred stock	50	1,445	61	1,937	5	118	3	96
Common stock	105	1,774	154	4,761	7	203	14	365
Unseasoned	35	51	19	48	2	3	1	2
Seasoned	70	1,723	135	4,713	5	200	13	363
Closed-end shares ^{1/}	4	92	1	16	0	0	0	0
Other Equity Securities	117	981	79	764	8	81	9	89
SECONDARY OFFERINGS								
Cash sale	182	856	187	1,267	18	77	20	58
Cash sale	27	130	44	692	1	5	4	33
Other than cash sale	155	726	143	575	17	73	16	25

	Amount				
FOR EXTENDED CASH SALE AND OTHER ISSUES					
Investment company issues ^{1/}	13,100	23,368	1,329	1,768	2,292
Employee savings and thrift plans	7,100	14,107	1,214	1,075	1,844
Employee stock option plans	2,002	3,360	59	155	100
Employee stock option plans	2,629	2,844	41	170	121
Other employee plans	1,028	1,434	11	241	55
Dividend reinvestment plans [*]	342	1,624	5	127	171
FOREIGN GOVERNMENT	1,797	2,546	150	0	249
OTHER NON CASH ISSUES	6,303	4,844	219	462	470
Exchange transactions ^{2/}	4,537	2,631	175	329	358
Reserved for conversion	784	1,814	11	71	67
Warrants and options	149	105	6	18	3
Other	833	295	26	44	42

* Dividend reinvestment plans initiated beginning January 1973.

^{1/} Closed-end investment companies were included in extended cash sale until December 1972.

Closed-end shares include preferred and common stock.

^{2/} Includes mergers and consolidations subject to registration under 1933 Act, Rule 154, effective January 1973.

^{3/} Includes lease obligations relating to industrial revenue bonds of \$7,000,000.

Note: See Explanatory Notes for Registrations

EXPLANATORY NOTES

Registrations

Data cover all registrations which became effective under the Securities Act of 1933 during the period covered. Issues are included as of the effective date, with the exception of those subject to post-effective amendment to report terms of offering. These are included as of the date of the post-effective amendment.

The classification primary corporate offerings refer to registered offerings for immediate cash sale where the proceeds of the offering are at the disposal of the issuing corporations. Secondary offerings are registrations of outstanding securities where the proceeds of the issue do not accrue to the issuing company. The dollar amount for both type offerings is based generally on the initial offering price. The classification unseasoned common stock includes initial offerings by companies registering common stock for the first time under the Securities Act of 1933, whereas seasoned common stock offerings are registrations by companies previously having securities registered under the 1933 Act. Other equity securities classification consists of offerings of certificates of participation or beneficial interests, warrants or options, voting trust certificates and other equity securities.

Issues to be offered for extended cash sale include investment company issues, and all offerings of employee savings and stock option plans. The classification foreign government is shown separately, whereas registrations by foreign corporations are included in with corporate offerings. Investment company securities include open-end, face-amount and unit trust offerings. Closed-end securities are included in primary corporate offerings.

Issues registered for other noncash purposes such as exchange transactions, securities given for property or services, or reserved for conversion are generally valued at the current market prices.

In order to eliminate double counting, the number of issues are shown for primary and secondary offerings only. However, effective registrations cover all cash offerings, noncash offerings, and offerings for extended cash sale.

Dollar amounts have been rounded and will not add to totals.

PRIMARY CORPORATE REGISTRATIONS UNDER THE SECURITIES ACT OF 1933, BY METHOD OF DISTRIBUTION TO THE PUBLIC

MILLIONS OF DOLLARS

	CALENDAR YEARS 1973 1974	LAST 12 MONTHS	AUG 1975	JUL 1975	AUG 1974	JUL 1974
TOTAL PRIMARY OFFERINGS	\$23,601	\$31,933	\$43,167	\$1,969	\$3,189	\$2,344
TOTAL UNDERWRITTEN	19,725	29,602	40,251	1,812	2,966	2,250
BONDS, NOTES AND DEBENTURES	12,176	25,305	33,210	1,353	2,474	2,047
PREFERRED STOCK	2,362	1,869	2,205	96	125	105
COMMON AND OTHER EQUITY	4,140	2,363	4,821	363	369	99
CLOSED-END INVESTMENT CO	1,048	68	16	0	0	0
TOTAL ON AGENCY BASIS	1,525	973	1,268	90	174	72
BONDS, NOTES AND DEBENTURES	180	280	352	2	100	100
PREFERRED STOCK	0	0	0	0	0	0
COMMON AND OTHER EQUITY	1,245	693	916	88	74	72
CLOSED-END INVESTMENT CO	100	0	0	0	0	40
TOTAL ISSUED DIRECTLY	2,350	1,359	1,647	67	46	21
BONDS, NOTES AND DEBENTURES	682	353	850	64	2	0
PREFERRED STOCK	3	9	2	0	0	1
COMMON AND OTHER EQUITY	1,647	971	793	3	44	2F
CLOSED-END INVESTMENT CO	19	25	0	0	0	0

PRIMARY CORPORATE REGISTRATIONS UNDER THE SECURITIES ACT OF 1933, BY METHOD OF DISTRIBUTION TO THE PUBLIC

NUMBER OF ISSUES

	CALENDAR YEARS 1973 1974	LAST 12 MONTHS	AUG 1975	JUL 1975	AUG 1974	JUL 1974
TOTAL ISSUES	935	762	903	55	61	46
TOTAL UNDERWRITTEN	523	486	658	39	46	32
BONDS, NOTES AND DEBENTURES	230	333	451	23	31	23
PREFERRED STOCK	52	63	71	3	4	4
COMMON AND OTHER EQUITY	222	69	135	13	11	6
CLOSED-END INVESTMENT CO	19	1	1	0	0	0
TOTAL ON AGENCY BASIS	192	90	80	9	5	8
BONDS, NOTES AND DEBENTURES	6	11	11	2	1	2
PREFERRED STOCK	0	0	0	0	0	0
COMMON AND OTHER EQUITY	181	79	69	7	4	5
CLOSED-END INVESTMENT CO	5	0	0	0	0	6
TOTAL ISSUED DIRECTLY	220	186	165	7	10	9
BONDS, NOTES AND DEBENTURES	30	37	61	4	4	1
PREFERRED STOCK	3	4	2	0	0	1
COMMON AND OTHER EQUITY	185	142	102	3	6	17
CLOSED-END INVESTMENT CO	2	3	0	0	0	0

* LESS THAN \$500,000

NOTE: See Explanatory Notes for Registrations.

ASSETS OF PRIVATE NONTINSURED PENSION FUNDS

QUARTERLY, BOOK VALUE

(Millions of Dollars)

	1974				1975			
	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
Cash and deposits	2,602	3,211	3,530	4,286	3,766	3,306		
U. S. Government securities	4,438	4,371	5,087	5,533	6,466	7,943		
Corporate and other bonds	30,821	31,999	33,676	35,029	36,369	36,168		
Preferred stock	1,223	1,157	1,136	1,129	1,136	1,131		
Common stock	80,658	80,287	79,740	79,319	79,696	81,668		
Mortgages	2,393	2,377	2,368	2,372	2,412	2,384		
Other assets	5,695	5,857	6,088	6,063	6,096	6,307		
Total Assets	127,830	129,259	131,625	133,731	135,941	138,907		

NOTE: Includes funds of corporations, unions, multiemployer groups, and nonprofit organizations; also includes deferred profit sharing funds.

During the first half of 1975, private noninsured pension funds, open-end investment companies, life insurance companies, and property-liability insurance companies purchased \$19.0 billion of common stock and sold \$16.7 billion, resulting in net purchases of \$2.3 billion. During the first half of 1974, gross purchases totaled \$15.5 billion; gross sales amounted to \$14.0 billion; and net purchases were \$1.5 billion. Their common stock activity rate ^{1/} was 25.9 percent for the initial half of 1975 as compared to 19.0 percent for the first six months of 1974.

Private Noninsured Pension Funds

Purchases of common stock by private noninsured pension funds increased from \$6.7 billion for the first six months of 1974 to \$9.0 billion in 1975, while sales rose from \$5.4 billion to \$6.1 billion. Therefore, first-half net purchases climbed from \$1.3 billion in 1974 to about \$3.0 billion this year. Their common stock activity rate was 19.7 percent, up sharply from 14.2 percent a year earlier.

Open-End Investment Companies

For the six-month period ending June 30, mutual funds purchased \$6.3 billion of common stock and sold \$6.9 billion, yielding net sales of \$0.6 billion. Gross purchases for the first half of 1974 totaled \$5.2 billion; gross sales amounted to \$5.8 billion; and net sales were \$0.6 billion. Their common stock activity rate climbed from 31.8 percent in the first half of 1974 to 42.0 percent in 1975.

Life Insurance Companies

During the first half of 1975, life insurance companies purchased \$1.0 billion of common stock for their general accounts, the same as last year; gross sales increased from \$0.7 billion to \$0.9 billion. Thus, net additions for the initial half of the year dropped from \$0.2 billion in 1974 to \$0.1 billion in 1975. The common stock activity rate rose slightly from 15.0 percent in 1974 to 17.9 percent this year.

For their separate accounts, life insurance companies purchased \$1.6 billion of common stock and sold \$0.9 billion, resulting in net purchases of \$0.7 billion for the initial half of 1975. These figures compare with purchases of \$1.2 billion, sales of \$0.7 billion, and net purchases of \$0.4 billion a year earlier. The activity rate for life insurance

^{1/} Activity rate is defined as the average of gross purchases and sales divided by the average market value of holdings. Activity rates used throughout this report are expressed as annual rates.

separate accounts rose from 24.7 percent in the initial half of 1974 to 32.2 percent in 1975.

Property-Liability Insurance Companies

During January-June of 1975, gross purchases of common stock by property-liability insurance companies were \$1.1 billion, down slightly from \$1.4 billion a year earlier; gross sales were \$2.0 billion, up sharply from \$1.3 billion. Thus, net sales by P-L insurance companies grew from \$0.1 billion in 1974 to \$0.9 billion this year. Their common stock activity rate soared from 17.3 percent in the first half of 1974 to 27.0 percent in 1975.

Foreign Investors

During the first half of 1975, foreign investors purchased \$7.4 billion of corporate stock and sold \$5.6 billion, yielding net purchases of \$1.8 billion. For the same period of 1974, they made purchases of \$4.3 billion, sales of \$3.9 billion, and net purchases of \$0.4 billion.

Block Transactions on the New York Stock Exchange

The volume of block transactions (involving 10,000 or more shares) is considered an indicator of institutional trading. Through June of this year 19,255 blocks with a market value of \$10.5 billion were traded as compared to 11,560 blocks valued at \$6.7 billion a year earlier. Block share volume rose from 268.6 million to 441.5 million.

QUARTERLY COMMON STOCK TRANSACTIONS AND ACTIVITY RATES
OF SELECTED FINANCIAL INSTITUTIONS

(Millions of Dollars)

	1974			1975		
	1Q	2Q	3Q	4Q	1Q	2Q
Private Noninsured Pension Funds 1/						
Purchases	3,586	3,138	2,413	2,621	4,020	5,010
Sales	2,786	2,336	2,037	1,887	2,722	3,354
Net purchases (sales)	800	202	376	734	1,298	1,656
Activity rate	14.4	13.9	13.1	15.1	19.3	20.0
Open-End Investment Companies 2/						
Purchases	2,725	2,492	1,758	2,110	2,913	3,368
Sales	3,334	2,913	1,995	1,830	2,986	2,875
Net purchases (sales)	(609)	(21)	63	280	(73)	(505)
Activity rate	33.3	30.2	25.5	32.2	41.2	42.6
Life Insurance Companies 3/						
Purchases	1,153	960	802	1,015	1,393	1,218
Sales	847	619	416	557	958	830
Net purchases (sales)	306	341	386	458	435	388
Activity rate	20.6	17.1	15.5	21.9	28.3	20.7
Property-Liability Insurance Companies						
Purchases	771	655	526	468	551	518
Sales	585	684	1,154	800	981	983
Net purchases (sales)	186	(49)	(628)	(332)	(430)	(465)
Activity rate	16.9	17.8	28.7	26.1	28.8	25.4
Total Selected Institutions						
Purchases	8,235	7,225	5,999	6,214	8,877	10,114
Sales	7,952	6,452	5,302	5,074	9,040	9,000
Net purchases (sales)	283	773	197	1,140	1,230	1,074
Activity rate	19.7	18.3	17.6	20.9	26.2	25.7
Foreign Investors 4/						
Purchases	2,618	1,718	1,561	1,727	3,262	4,166
Sales	2,334	1,663	1,457	1,740	2,303	3,270
Net purchases (sales)	384	55	104	(13)	959	896

1/ Includes pension funds of corporations, unions, multiemployer groups, and nonprofit organizations; also includes deferred profit sharing funds.

2/ Mutual funds reporting to the Investment Company Institute, a group whose assets constitute about ninety percent of the assets of all open-end investment companies.

3/ Includes both general and separate accounts.

4/ Transactions of foreign individuals and institutions in domestic common and preferred stocks. Activity rates for foreign investors are not calculable.

NOTE: Activity rate is defined as the average of gross purchases and sales (annualized) divided by the average market value of holdings.

SOURCE: Pension funds and property-liability insurance companies, SEC; investment companies, Investment Company Institute; life insurance companies, Institute of Life Insurance; foreign investors, Treasury Department.

COMMON STOCK TRANSACTIONS AND ACTIVITY RATES
OF LIFE INSURANCE COMPANIES
QUARTERLY, BY TYPE OF ACCOUNT
(Millions of Dollars)

	1974				1975			
	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
General Accounts								
Purchases	581	373	356	480	503	475	441	441
Sales	418	313	236	319	425	34	34	34
Net purchases (sales)	163	60	100	161	78	16.6	16.6	16.6
Activity rate	17.2	12.5	12.2	18.7	19.4			
Separate Accounts								
Purchases	572	587	466	535	890	743	389	389
Sales	429	306	180	238	533	357	354	354
Net purchases (sales)	143	281	286	297	40.2	25.8	25.8	25.8
Activity rate	25.7	23.9	20.3	26.6				

NOTE: Activity rate is defined as the average of gross purchases and sales (annualized) divided by the average market value of holdings.

SOURCE: Institute of Life Insurance

UNCONSOLIDATED MONTHLY REVENUE AND EXPENSES OF NYSE MEMBER FIRMS DOING A PUBLIC BUSINESS

(Millions of Dollars)

	Securities Commissions	Realized and Unrealized Gain (Loss) in Trading and Investments	Commodities Revenue	Profit or (Loss) from Underwriting and Selling Groups	Investment Company Securities Commissions			Revenue Unrelated to the Securities Business			All Other Expenses			Gross Revenue			Total Expenses			Net Income Before Taxes			Total Number of Firms		
							Margin Interest																		
1972	\$280.8	\$119.7	9.4	\$49.6	\$ 9.8	\$31.1		\$2.0	\$32.3	\$534.9	\$410.3	\$124.7	497												
January	309.6	104.9	7.7	52.8	8.4	31.3		1.9	30.1	\$46.7	427.6	119.1	500												
February	359.2	78.7	10.2	73.1	9.2	34.8		3.0	38.5	600.7	482.1	118.6	496												
March																									
April	301.2	77.2	8.7	64.9	6.1	36.7		1.4	28.0	524.2	481.9	82.3	498												
May	261.4	85.8	8.0	87.0	5.7	39.2		2.8	24.4	514.3	425.3	88.9	500												
June	274.1	43.2	8.9	79.9	7.8	43.2		1.7	29.4	488.0	425.6	32.5	498												
July	214.0	35.8	8.4	52.4	5.9	43.0		2.0	21.6	383.0	386.5	(3.5)	496												
August	258.4	80.2	10.8	61.9	7.2	45.7		1.5	28.1	493.9	429.6	64.3	497												
September	196.9	31.7	13.4	48.9	8.9	48.8		2.9	25.1	376.7	403.1	(26.5)	497												
October	219.7	59.1	9.9	59.3	6.2	50.9		2.4	26.7	432.2	412.9	19.3	494												
November	265.3	123.0	9.6	64.6	10.0	48.1		2.3	24.2	547.2	435.3	111.9	488												
December	283.1	69.1	15.4	75.9	9.2	56.3		6.5	36.4	548.1	491.2	56.9	487												
Total	\$3,223.7	\$908.4	\$120.4	\$770.3	\$94.4	\$507.1		\$28.4	\$336.8	\$5,399.9	\$5,201.4	\$788.5	NA												
1973	January	9 258.5	\$ 16.5	\$ 45.1	\$ 8.0	\$ 46.0		\$ 3.2	\$ 26.4	\$ 421.0	\$ 430.8	\$ (9.8)	491												
February	210.5	2.7	15.4	48.0	16.3	48.7		2.7	21.9	366.2	408.2	(42.0)	481												
March	234.2	23.3	18.5	39.6	19.8	55.7		.1	26.5	415.8	438.6	(22.8)	478												
April	178.5	26.2	13.0	37.3	6.8	50.2		1.8	28.2	342.0	383.4	(41.5)	474												
May	204.1	7.6	16.7	40.0	6.4	50.7		2.7	25.6	354.1	396.2	(40.0)	473												
June	179.9	30.1	16.9	31.0	4.5	54.4		3.3	28.2	348.5	385.8	(37.3)	468												
July	170.3	72.2	15.5	18.2	4.7	51.2		3.2	27.5	362.8	369.6	(6.8)	463												
August	188.9	22.8	17.9	26.4	6.7	59.9		3.1	30.2	353.8	385.7	(31.8)	457												
September	188.6	115.0	11.3	23.8	3.9	55.6		4.6	29.0	432.5	378.2	56.3	452												
October	296.7	71.9	16.1	38.7	4.9	56.0		4.4	28.9	513.6	434.6	81.0	449												
November	296.6	(26.0)	16.2	40.3	16.8	58.2		5.1	29.0	434.3	451.9	(17.7)	446												
December	252.8	52.0	12.6	40.9	3.7	52.6		7.2	43.0	464.6	422.0	42.8	443												
Total	\$2,659.6	\$415.1	\$161.4	\$629.4	\$100.5	\$661.0		\$41.5	\$342.6	\$4,811.0	\$4,683.0	\$71.9	NA												

NOTE: Individual totals may not add due to rounding

Source: NYSE Joint Regulatory Report

Continued

UNCONSOLIDATED MONTHLY REVENUE AND EXPENSES OF NYSE MEMBER FIRMS DOING A PUBLIC BUSINESS
(cont'd.)

(Millions of Dollars)

	Securities Commissions	Profit or (Loss) from Underwriting and Salesman Groups	Revenues Unrelated to the Securities Business	All Other Revenues	Gross Revenue	Total Expenses	Net Income Before Taxes	Total Number of Firms
<u>1974</u>								
January	\$ 238.4	\$ 83.2	\$ 14.3	\$ 23.7	\$ 4.6	\$ 47.3	\$ 37.9	\$ 453.2
February	179.3	55.6	13.8	29.9	6.9	46.1	4.1	325
March	233.6	42.4	15.2	26.4	3.9	49.7	4.8	332
April	171.2	13.5	14.0	28.0	3.8	51.3	4.4	319
May	190.6	23.0	15.4	28.4	3.3	62.2	6.5	319
June	159.0	25.2	12.5	30.2	3.2	57.9	5.2	351
July	165.3	29.8	13.2	31.3	3.1	57.5	4.6	351
August	178.5	23.1	13.7	38.1	3.5	61.0	6.0	326
September	166.7	54.6	11.3	35.8	2.4	50.2	7.3	343
October	199.6	101.5	12.8	55.2	2.6	45.0	6.5	397
November	201.9	78.5	12.0	56.7	3.3	45.2	9.3	416
December	189.1	61.6	11.5	46.3	2.7	42.5	4.3	420
Total	\$2,271.2	\$592.0	\$159.7	\$30.0	\$41.5	\$615.9	\$66.8	\$443.1
<u>1975</u>								
January ^r	\$ 219.0	\$142.4	\$ 13.0	\$ 60.8	\$ 4.8	\$ 41.5	\$ 7.3	\$ 45.7
February ^r	255.3	98.6	10.2	52.9	3.9	33.7	4.7	313
March ^r	286.9	53.1	11.9	38.4	2.4	33.1	5.9	362
April ^r	297.7	55.3	13.3	65.7	3.1	32.1	7.3	356
May ^r	315.2	102.7	13.0	87.7	3.1	36.6	7.5	417
June ^r	268.3	97.0	14.2	86.9	3.0	33.7	5.0	383
July ^p	284.5	49.6	16.4	65.4	2.5	36.3	4.9	425
August ^p	200.7	25.0	19.3	55.3	2.6	43.4	6.6	399
September ^p	158.0	34.4	15.0	52.4	2.6	40.0	20.2	413

^r = revised
preliminary

Note: Figures may not add to totals due to rounding.
Source: NYSE Joint Regulatory Report

UNCONSOLIDATED BALANCE SHEET OF NYSE MEMBER FIRMS DOING A PUBLIC BUSINESS

PART I: ASSETS

(Millions of Dollars)

	1st Quarter 1973		2nd Quarter 1973		3rd Quarter 1973		4th Quarter 1973	
	1st Quarter 1973	2nd Quarter 1973	3rd Quarter 1973	4th Quarter 1973	1st Quarter 1974	2nd Quarter 1974	3rd Quarter 1974	4th Quarter 1974
Cash, Clearing Funds and Other Deposits	\$ 853.4	\$ 759.8	\$ 726.2	\$ 687.6	\$ 674.2	\$ 664.4	\$ 591.5	\$ 581.6
Secured Capital Demand Notes	346.0	427.2	422.5	412.3	398.7	384.1	341.2	343.3
Receivables From Other Broker-Dealers								
Securities Failed to Deliver	1,273.8	932.9	1,833.6	1,496.9	1,055.6	867.1	991.2	987.4
Securities Purchased	1,097.2	890.8	1,036.6	1,063.2	997.0	821.2	701.6	801.3
Other Receivables	186.4	182.8	199.8	272.3	234.8	207.9	729.8	848.6
Receivables From Customers:								
Cash and Fully Secured Accounts	10,349.9	8,535.0	8,669.8	8,002.8	7,677.7	7,338.6	5,912.1	6,465.6
Unsecured and Partly Secured Less Reserve	82.0	47.2	52.2	52.6	55.8	48.1	48.7	49.3
Commodities Accounts	52.8	53.8	40.7	65.3	47.9	45.5	24.4	24.9
Market Value of Securities and Commodities:								
Trading and Investment Accounts	6,530.1	6,096.0	6,698.9	7,063.0	5,035.8	4,832.6	6,289.4	8,319.2
Partners' Individual and Capital Accounts	155.8	32.0	85.4	127.3	6.7	3.6	5.8	17.1
Approved Subordination Agreement Accounts	97.0	26.2	18.4	12.4	5.6	2.3	1.5	1.3
Non-approved Subordination Agreement Accounts	42.0	79.0	93.1	82.8	82.1	63.5	47.9	52.7
In Suspense Accounts	4.7	1.0	4.2	5.4	2.0	.9	2.7	2.7
Not Readily Marketable Securities	103.7	94.2	88.4	103.2	82.3	80.8	76.7	75.1
Dividends and Interest Receivable	51.7	44.6	50.4	46.2	30.6	45.0	39.7	52.4
Investment in Affiliates and Guaranteed Subsidiaries	205.2	198.7	215.9	207.0	200.4	202.0	231.4	237.1
Exchange Membership at Fair Value	151.6	112.1	160.4	134.1	116.5	104.2	102.9	109.6
Money Difference Accounts	4.1	2.1	3.1	5.4	2.6	2.8	.8	.8
Unsecured Receivables, Loans and Advances to Partners, Officers, Employees and Subordinated Lenders	26.7	27.1	24.0	23.4	23.7	24.6	24.5	25.1
Advances to Subsidiaries and Affiliates	44.5	41.0	40.7	36.6	53.3	67.7	72.7	74.9
All Other Assets	720.4	883.5	811.3	772.9	735.9	637.2	659.4	728.9
Total Assets	\$22,381.0	\$19,482.0	\$21,275.6	\$20,676.7	\$17,539.4	\$16,404.1	\$16,896.1	\$19,805.9
Number of Firms	478	468	452	443	437	431	422	420

r = Revised

Note: Individual totals may not add due to rounding.

Source: NYSE Joint Regulatory Report

UNCONSOLIDATED BALANCE SHEET OF NYSE MEMBER FIRMS DOING A PUBLIC BUSINESS
 PART I: ASSETS
 (Millions of Dollars)

	1st Quarter 1975	2nd Quarter 1975	3rd Quarter 1975	4th Quarter 1975	1st Quarter 1976	2nd Quarter 1976	3rd Quarter 1976	4th Quarter 1976
Cash, Clearing Funds and Other Deposits								
Secured Capital Demand Notes	\$ 632.7	\$ 649.3	\$ 751.0					
Receivable From Other Broker-Dealers:	310.7	300.5	296.0					
Securities Failed to Deliver	1,206.6	1,206.1	947.0					
Securities Borrowed	1,268.5	1,377.3	1,299.0					
Other Receivables	686.3	730.9	679.0					
Receivables From Customers:								
Cash and Fully Secured Accounts	6,669.0	7,578.1	7,366.0					
Unsecured and Partly Secured Less Returns	32.9	36.2	38.0					
Commodities Accounts	4.5.9	103.5	135.0					
Market Value of Securities and Commodities:								
Trading and Investment Accounts	7,136.6	7,438.0	6,577.0					
Partners' Individual and Capital Accounts	11.1	11.8	5.0					
Approved Subordination Agreement Accounts	1.6	1.9	2.0					
Non-Approved Subordination Agreement Accounts	58.4	69.2	60.0					
In Suspense Accounts	5.2	4.0	2.0					
Not Readily Marketable Securities	71.9	79.4	95.0					
Dividends and Interest Receivable	53.3	45.8	45.0					
Investment in Affiliates and Guaranteed Subsidiaries	224.2	234.0	243.0					
Exchange Membership at Fair Value	119.8	150.8	118.0					
Money Difference Accounts	0.9	0.4	0.0					
Unsecured Receivables, Loans and Advances to Partners, Offices, Employees and Subordinated Lenders	22.6	23.3	25.0					
Advances to Subsidiaries and Affiliates	61.0	60.8	58.0					
All Other Assets	791.7	754.0	779.0					
Total Assets	\$ 19,408.9	\$ 20,853.3	\$ 19,338.0					
Number of Firms	413	414	417					

p = preliminary

r = revised

Note: Individual totals may not add due to rounding.

Source: NYSE Joint Regulatory Report

UNCONSOLIDATED BALANCE SHEET OF NYSE MEMBER FIRMS DOING A PUBLIC BUSINESS

PART II: LIABILITIES AND CAPITAL

(Millions of Dollars)

	1st Quarter 1973	2nd Quarter 1973	3rd Quarter 1973	4th Quarter 1973	1st Quarter 1972	2nd Quarter 1972	3rd Quarter 1972	4th Quarter 1972
Money Borrowed								
Secured by Customers' Collateral	\$ 4,603.1	\$ 3,820.9	\$ 3,228.4	\$ 2,499.2	\$ 2,343.0	\$ 2,556.3	\$ 1,530.6	\$ 1,522.2
Secured by Firm Collateral	4,377.4	4,275.7	4,607.6	5,146.2	3,711.6	3,398.5	4,024.3	6,733.8
Unsecured	63.6	80.4	75.9	92.2	93.9	94.4	36.0	59.5
Payables to Other Broker-Dealers:								
Customers' Securities Loaned	945.0	731.7	828.5	786.1	722.3	529.4	456.9	505.0
Proprietary Securities Loaned	53.8	50.3	56.6	53.6	88.4	61.4	61.9	68.6
Securities Failed to Receive-Customers	805.9	598.4	1,057.3	943.0	742.0	496.0	499.7	547.7
Securities Failed to Receive-Proprietary	446.9	373.4	699.0	446.0	393.9	344.0	338.2	491.4
Payable to Customers								
Free Credit Balances	1,672.5	1,285.4	1,527.3	1,672.0	1,506.4	1,296.5	1,296.5	1,395.0
Other Liabilities to Customers	1,601.7	1,276.3	2,050.4	1,938.3	1,649.7	1,409.0	1,436.5	1,549.5
Credit Balances in Omnibus Accounts								
Customers' Securities/Commodities	193.7	199.1	224.2	141.1	95.2	123.2	132.6	118.2
Proprietary Securities/Commodities	499.4	396.9	371.7	641.3	387.6	713.3	536.7	501.6
Reserves for "Rage" Transfers, Dividends Receivable and Unlocated Short Security Differences								
Other Liability Reserves	63.0	56.0	63.9	113.7	87.2	88.6	85.0	97.5
Money Difference Accounts	1.3	1.8	6.2	8.6	3.6	1.8	6	1.5
Dividends and Interest Payable	75.8	78.3	76.6	81.4	76.2	84.1	76.4	85.8
Advances from Subsidiaries and Affiliates	32.2	38.0	31.2	36.2	37.1	35.8	33.7	38.1
Short Positions in Securities and Commodities	1,326.1	1,286.2	1,284.6	1,018.9	775.3	775.9	526.2	645.2
All Other Liabilities	1,456.0	1,164.3	1,1231.4	1,632.1	1,308.2	1,096.5	1,672.5	2,469.1
Subordinated Liabilities:								
Borrowing not Approved for Inclusion in Net Capital	46.2	90.3	102.0	99.3	100.3	82.6	65.5	70.7
Secured Demand Notes	320.3	381.6	393.0	389.7	370.6	355.8	301.0	305.0
Other Approved Accounts and Borrowings	632.2	556.2	571.0	567.4	525.7	496.0	513.6	516.5
Value of Exchange Memberships Contributed	26.3	15.3	23.4	21.1	18.5	16.1	16.4	17.2
Capital Accounts:								
Partnership Capital	1,046.8	823.2	866.7	809.6	806.4	728.9	694.6	716.0
Stockholders' Equity	1,866.3	1,723.0	1,709.8	1,716.9	1,697.0	1,619.2	1,592.1	1,632.1
Total Liabilities and Capital	922,391.2	819,469.0	921,275.6	920,676.7	917,339.4	916,504.1	915,896.1	919,003.9

r = revised

Note: Individual totals may not add due to rounding.
Source: NYSE Joint Regulatory Report

UNCONSOLIDATED BALANCE SHEET OF NYSE MEMBER FIRMS DOING A PUBLIC BUSINESS
PART II: LIABILITIES AND CAPITAL

	1st Quarter 1975	2nd Quarter 1975*	3rd Quarter 1975	4th Quarter 1975*	1st Quarter 1976	2nd Quarter 1976	3rd Quarter 1976	4th Quarter 1976
Honey Borrowed								
Secured by Customers' Collateral	\$ 869.1	\$ 1,416.1	\$ 1,807.0					
Secured by Firm Collateral	5,329.9	5,417.3	4,581.0					
Unsecured	49.8	57.1	74.0					
Payables to Other Broker-Dealers:								
Customers' Securities Lent	767.4	829.6	715.0					
Proprietary Securities Lent	112.1	104.6	132.0					
Securities Failed to Receive-Customers	602.3	558.4	367.0					
Securities Failed to Receive-Proprietary	660.2	732.7	447.0					
Payable to Customers								
Free Credit Balances	1,751.2	1,717.9	1,369.0					
Other Liabilities to Customers	1,903.9	1,946.0	1,554.0					
Credit Balances in Omnibus Accounts								
Customers' Securities/Commodities	124.6	132.3	139.0					
Proprietary Securities/Commodities	581.3	563.8	887.0					
Reserve for "Aged" Transfer, Dividends Receivables and Unlocated Short Security Differences								
Other Liability Reserves	.7	0.8	0.0					
Money Difference Accounts	111.2	164.5	147.0					
Dividends and Interest Payable	.9	0.4	0.0					
Advances from Subsidiaries and Affiliates	83.7	75.6	73.0					
Short Positions in Securities and Commodities	36.9	36.0	37.0					
All Other Liabilities	934.1	1,009.1	941.0					
Subordinated Liabilities:								
Borrowing Not Approved For Inclusion in Net Capital	77.2	85.9	78.0					
Secured Demand Notes	280.5	289.4	265.0					
Other Approved Accounts and Borrowings	437.0	435.1	419.0					
Value of Exchange Memberships Contributed	20.2	27.1	19.0					
Capital Accounts:								
Partnership Capital	798.6	891.7	867.0					
Stockholders' Equity	1,711.9	1,843.8	1,832.0					
Total Liabilities and Capital	\$ 19,408.9	\$ 20,855.3	\$ 19,338.0					

Note: Individual totals may not add due to rounding.
Source: NYSE Joint Regulatory Report

p = preliminary
r = revised

Revenue, Expense and Balance Sheet of New York Stock Exchange
Member Firms Doing a Public Business

The revenue, expense and balance sheet data are received from NYSE member firms pursuant to Rule 416(b)(1) of the New York Stock Exchange which became effective January 1, 1972.

Revenue and expenses are reported on an unconsolidated basis and without adjustments to investment accounts for respondents' equity in profit or share of loss of affiliates or subsidiaries.

Securities Commissions

Commissions earned on all agency equity and debt transactions including principal transactions and net commissions earned on introduced accounts carried by other brokers and on omnibus accounts carried for other brokers.

Realized and Unrealized Gain (Loss) in Trading and Investments

Realized and unrealized gain (loss) from market making activities in securities held for sale in the ordinary course of business and not identified as held for investment. Dividends and interest income on securities in trading accounts are treated as an adjustment to gain (loss) and are not reduced by any allocation of Federal income taxes.

Profit (Loss) from Underwriting and Selling Groups

Gross profit (loss) from management of or participation in underwriting syndicates and selling groups is determined as the difference between proceeds of securities sold and their purchase price and allowances received from or given to other brokers. Any unrealized loss on securities unsold at the time the underwriting account was closed is considered as a deduction from the proceeds of securities sold.

Investment Company Securities Commissions

Income derived from sale of investment company securities as a retailer and as an underwriter.

Margin Interest

Interest on customers' securities and commodities accounts for financing customer margin debits.

Other Revenue not Related To The Securities Business

Miscellaneous other non-securities agency transactions for: variable annuities, placement of savings and loan accounts, fractional interest in oil, gas or other mineral rights, participation in real estate syndications.

All Other Revenue

Revenue from sources related and unrelated to the securities business not included in items listed above.

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FIRST SIX MONTHS OF VOLUME 34

INDEX OF SERIES APPEARING IN THE STATISTICAL BULLETIN

INCLUDES: MONTHLY DATA BEGINNING OCT - 74; QUARTERLY DATA BEGINNING QUARTER 3-74

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M-110	SELECTED STOCK MARKET INDICATORS	PERIOD ENDING PAGE NUMBER	DEC - 74 12	JAN - 75 103	FEB - 75 258	MAR - 75 310	APR - 75 416	MAY - 75 518
M-120	MARKET VALUE AND VOLUME ON UNITED STATES STOCK EXCHANGES	PERIOD ENDING PAGE NUMBER	NOV - 74 3	DEC - 74 93	JAN - 75 207	FEB - 75 301	MAR - 75 407	APR - 75 509
M-130	ROUND-LOT AND ODD-LOT SHARE VOLUME ON THE AMEX	PERIOD COVERED PAGE NUMBER	NOV - 74 9	DEC - 74 93	JAN - 75 209	FEB - 75 303	MAR - 75 409	APR - 75 511
M-140	ROUND-LOT SHARE VOLUME ON THE NYSE	PERIOD COVERED PAGE NUMBER	NOV - 74 7	DEC - 74 87	JAN - 75 211	FEB - 75 303	MAR - 75 411	APR - 75 512
M-142	ODD-LOT CUSTOMERS' SHARE VOLUME ON THE NYSE: 100 COMMON STOCKS	PERIOD COVERED PAGE NUMBER	DEC - 74 9	JAN - 75 99	FEB - 75 213	MAR - 75 307	APR - 75 413	MAY - 75 515
M-143	ODD-LOT SHARE VOLUME ON THE NYSE	PERIOD COVERED PAGE NUMBER	NOV - 74 11	DEC - 74 101	JAN - 75 213	FEB - 75 309	MAR - 75 415	APR - 75 517
M-180	SPECIAL INVESTMENTS, SECONDARY DISTRIBUTIONS, AND EXCHANGE DISTRIBUTIONS ON UNITED STATES STOCK EXCHANGES	PERIOD COVERED PAGE NUMBER	DEC - 74 13	JAN - 75 103	FEB - 75 217	MAR - 75 311	APR - 75 417	MAY - 75 519
* M-210	NUMBER AND VALUE OF EFFECTIVE REGISTRATIONS UNDER THE SECURITIES ACT OF 1933	PERIOD COVERED PAGE NUMBER	NOV - 74 24	DEC - 74 114	JAN - 75 228	FEB - 75 322	MAR - 75 429	APR - 75 530
M-212	DOLLAR VALUE OF EFFECTIVE REGISTRATIONS UNDER THE SECURITIES ACT OF 1933	PERIOD COVERED PAGE NUMBER						
M-214	NUMBER OF EFFECTIVE REGISTRATIONS UNDER THE SECURITIES ACT OF 1933, BY PURPOSE OF REGISTRATION	PERIOD COVERED PAGE NUMBER						
M-216	PRIMARIA REGISTRATIONS UNDER THE SECURITIES ACT OF 1933 BY METHOD OF CONTRIBUTION TO THE PUBLIC	PERIOD COVERED PAGE NUMBER						
M-220	ESTIMATED GROSS PROCEEDS FROM PRIMARY SECURITIES OFFERINGS BY INDUSTRY AND TYPE OF OFFERING	PERIOD COVERED PAGE NUMBER	OCT - 74 14	NOV - 74 103	DEC - 74 318	JAN - 75 312	FEB - 75 419	MAR - 75 520
M-232	ESTIMATED GROSS PROCEEDS FROM PRIMARY CORPORATE BOND OFFERINGS BY INDUSTRY	PERIOD COVERED PAGE NUMBER	OCT - 74 17	NOV - 74 107	DEC - 75 221	JAN - 75 315	FEB - 75 422	MAR - 75 523
M-234	ESTIMATED GROSS PROCEEDS FROM PRIMARY CORPORATE PREFERRED STOCK BY INDUSTRY	PERIOD COVERED PAGE NUMBER	OCT - 74 19	NOV - 74 109	DEC - 75 223	JAN - 75 317	FEB - 75 424	MAR - 75 525
M-236	ESTIMATED GROSS PROCEEDS FROM PRIMARIA CORPORATE COMMON STOCK BY INDUSTRY	PERIOD COVERED PAGE NUMBER	OCT - 74 20	NOV - 74 110	DEC - 75 224	JAN - 75 318	FEB - 75 425	MAR - 75 526
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M-510	UNCONSOLIDATED MONTHLY REVENUE AND EXPENSES OF NEW MEMBER FIRMS DOING A PUBLIC BUSINESS	PERIOD COVERED PAGE NUMBER	1972 THROUGH 1974 461	JAN - 75 526	FEB - 75 526	MAR - 75 526		
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Q-310	WORKING CAPITAL: CURRENT ASSETS AND LIABILITIES, NON-FINANCIAL U.S. CORPORATIONS	PERIOD ENDING PAGE NUMBER	QUARTER 3-1974 26	QUARTER 4-1974 432				
Q-320	ASSETS OF NON-INSURED PENSION FUNDS	PERIOD ENDING PAGE NUMBER	QUARTER 3-1974 29	QUARTER 4-1974 324				
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Q-450	OVER-THE-COUNTER VOLUME IN NYSE LISTED STOCKS	PERIOD ENDING PAGE NUMBER	QUARTER 3-1974 33	QUARTER 4-1974 337				
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NOTE: Index covering previous six months can be found on page 657 of Volume 34, Index Number 5.

* Signifies that series will be discontinued.

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